

**ESSA PROJECT**

European Students Sustainability Auditing

# Auditor Training Programme

**ESSA**  
PROJECT

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**Disclaimer**

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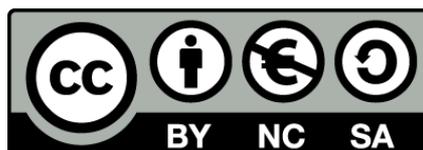
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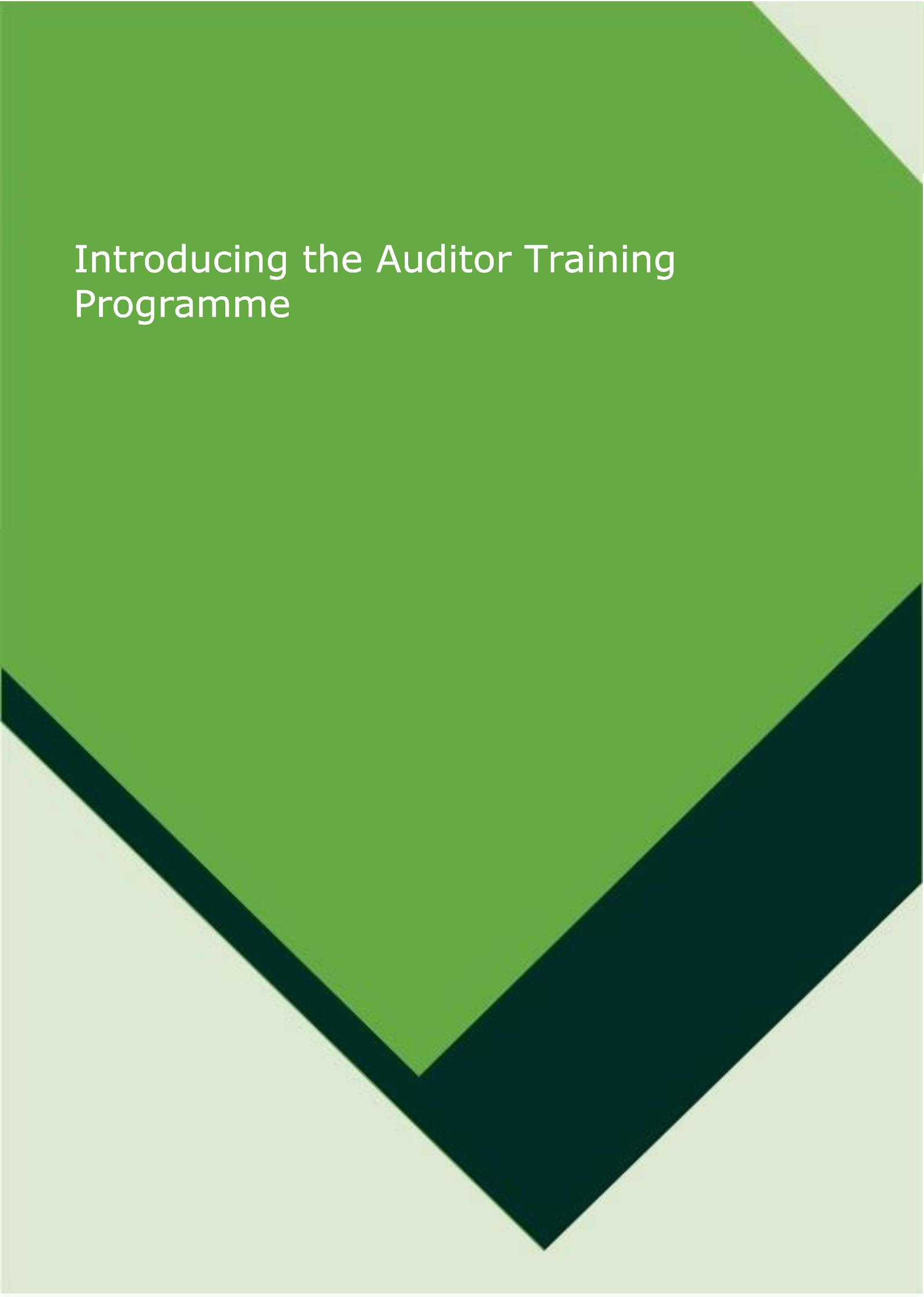
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## Contents

Introducing the Auditor Training Programme.....	3
Methodology and process of the auditor training programme .....	10
Structure of the Auditor Training Programme .....	14
Unit materials .....	49
References .....	75

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# Introducing the Auditor Training Programme

## Introducing the Auditor Training Programme

### Introducing the ESSA project

The European Student, Sustainability Auditing (ESSA) project is a response to the developing commitment of higher education institutions and the growing interest of students in University Social Responsibility. The project received funding from Erasmus+ during 01.09.2016 – 31.08.2019.

Recent trends in the conceptualisation of University Social Responsibility (USR) have generated a diversification and fragmentation of aims, objectives and practices. The Benchmark Standards for USR were developed through an earlier EU Lifelong Learning Programme funded project as a response to this fragmentation of the field and as a guide to interventions in policy and practices. The Benchmark Standards identifies USR as comprising actions under the four key themes of:

- Research, Teaching, Support for Learning and Public Engagement
- Governance
- Environmental and Societal Sustainability
- Fair Practices.

The [ESSA](#) project empowers students as USR auditors using the Benchmark Standards. During the Erasmus+ funding period, participating students experienced a learner-centred education programme in USR auditing followed by completing cross-national student audit of a European higher education institution.

Participating students received an EQF Level 6 Certificate in Social Responsibility Auditing following satisfactory completion of the training programme, the institutional audit and the Certificate requirements through a portfolio based assessment of learning.

The objectives of the project were to:

- Create an innovative approach to the recognition and validation of knowledge, skills (including soft skills) and competences;
- Produce a significant Open Educational Resource (OER) for a ECTS 5 Credit Certificate in Social Responsibility Auditing (EQF Level 6);
- Contribute to the wider process of developing alternative models of curriculum development.

The following Open Educational Resources have been produced by the project partners:

- [Facilitator Training Manual](#)
- Auditor Training Manual
- [Audit manuals](#)
- [Assessment and Certification](#)

## Project partners

During the Erasmus+ funding, the project was delivered by the following partners:

National Union of Students of the United Kingdom (project coordinator)

The National Unions of Students in Europe

University of Porto

University of Edinburgh

Kaunas University of Technology

Edinburgh University Student's Association

Kaunas University of Technology Student's Union

Student Association from the Faculty of Psychology and Education Sciences of the University of Porto.

## Purpose of the auditor training manual

This manual gives an overview of the auditor training programme arranged as part of the European Students Sustainability Auditing (ESSA) project from a facilitator's perspective and provides guidance and resources to facilitators to enable the planning and delivery of a successful student auditor training. The auditor training programme is based on action research methodology. It incorporates core and supplementary aims, identifies learning outcomes, presents content outlines, and describes a set of delivery options and tools for activities applied during the auditor training and the audit itself. In addition, a set of presentation slides to be used during the training sessions have been developed.

This training programme manual is aimed at facilitators from educational institutions who are going to train student auditors to carry out audits on social responsibility at universities (USR) across the European Higher Education Area. This document can be used by facilitators and educational institutions either as a standalone resource or integrated with [Facilitator Training Programme](#), [Audit manuals](#), and [Assessment and Certification manual](#).

## Intended learning outcomes

The auditor training programme aims at reaching the following learning outcomes for students:

- After the completion of the study programme students will be able to identify problems and resources of the USR
- Students will gain knowledge on social responsibility audits and will be able to perform an audit on social responsibility at a University
- Students will be able to conduct focus groups and carry out interviews individuals as tools to carry out an audit and collect data
- Students will be able to analyse collected data and reflect on it

- Students will have writing skills and be able to present a feedback report to the audited institution
- Students will be able to self-reflect and self-assess personal learning.

## Structure of the auditor training programme

The auditor training programme is designed as a three-phase process organised in a blended mode: an online preparatory phase, i.e. “pre-course”, an intensive face-to-face six-unit (approximately 40 hours) auditor training and post-course activity. The post-course phase includes individual work carried out by students and group work during the actual audit. Participation in carrying out the audit is a key component of the auditor training programme. Potential student auditors carry out the preparatory phase in their home institutions and apply virtual learning environments or online tools to carry out desk research about institutions (universities) where social responsibility audits will take place. Reading lists and training materials are also presented during the preparatory phase. The duration of the “pre-course” activity, face-to-face training and auditing is designed to take 100 hours. The structure of the auditor training programme is presented in the table below:

Table 1   Structure of the Auditor Training Programme				
PHASES	ACTIVITIES	METHODS	OUTCOMES	DELIVERY MODE
<b>"Pre-course" Preparatory phase</b>	<ul style="list-style-type: none"> <li>• Introductions</li> <li>• Desk research of students on - ESSA project and USR context of the project</li> <li>• Country related logistics (information about the institution where the audit will take place)</li> <li>• Research methods for auditing</li> <li>• Time-management</li> </ul>	Reading <i>You and Your Action Research Project</i> , by Jean McNiff and Jack Whitehead (2010)	<ul style="list-style-type: none"> <li>• Ability to identify problems and resources of the USR and derive implications for the design and evaluation of projects</li> <li>• Have knowledge on audits and USR</li> </ul>	/ Blended mode of training - virtual Learning Environments (e. g. Moodle) could be used based on institutional needs.
<b>Six unit intensive auditor</b>	<ul style="list-style-type: none"> <li>• Introduction to ESSA project</li> </ul>	<ul style="list-style-type: none"> <li>• Team working</li> </ul>	Students will be able to identify the main	Auditor trainers – facilitators in

<b>training programme</b>	<ul style="list-style-type: none"> <li>• Introduction of USR</li> <li>• Introduction of universities to be audited</li> <li>• Existing understanding of USR</li> <li>• Auditing – the main concepts</li> <li>• Benchmarking criteria</li> <li>• Auditing research methods</li> <li>• Simulation of audits</li> <li>• Reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Creative learning</li> <li>• Presentations</li> <li>• Reading lists</li> <li>• Interviews</li> <li>• Group discussions</li> </ul>	aspects of auditing university social responsibility, know and be able to practically apply benchmarking criteria, used in audits as well as practically carry out an audit of an institution and present auditing results to the stakeholders	home institutions
<b>"Post-course"</b>	<ul style="list-style-type: none"> <li>• Actual audits in host institutions – universities</li> <li>• Time management and working methods</li> <li>• Students meet the host students by skype call</li> </ul>	<ul style="list-style-type: none"> <li>• Individual work to review what students have learned during the face-to-face training sessions</li> <li>• Group work during the audit at a host university</li> </ul>	Ability to self-reflect and self-assess individual learning	<ul style="list-style-type: none"> <li>• Individual work at home</li> <li>• Group work during the actual audits at a host university</li> </ul>

During the Erasmus+ funded project, the audit process involved two distinct roles for student auditors:

1. *Visiting student auditors*: students who study at another institution who travel to deliver the audit at the host institution
2. *Host student auditors*: students who study at the host institution who support delivery of the audit.

# Auditor Training Manual

Please see Section 4 ESSA Student Auditors of the [Audit manual for institutions](#) for further information on the two roles held by students during the audit process.

The pre-course / preparatory phase of the study programme is devised as a study process carried out by students individually before attending the face-to-face auditor training programme. Students spend time individually carrying out research on the process of auditing, university social responsibility and criteria for carrying out an audit.

As part of their preparation, students are recommended to read chapters 1 and 2 from the book *You and Your Action Research Project*, by Jean McNiff and Jack Whitehead (2010), or other resources on social responsibility, available online such as:

- *Issue Briefing Note: Perceptions and Definitions of Social Responsibility* (2004), ([https://www.iisd.org/pdf/2004/standards\\_definitions.pdf](https://www.iisd.org/pdf/2004/standards_definitions.pdf), accessed 12 January 2017)
- *Corporate Social Responsibility*, by David Crowther and Güler Aras (2008), ([www.bookboon.com](http://www.bookboon.com), accessed 12 January, 2017)

In addition to this, it is recommended that students individually read information about the ESSA project (<https://www.essaproject.eu>). This information is also presented as learning materials in Unit 1.

During the face-to-face training course students are encouraged to actively participate and familiarise themselves with the ESSA project, with social responsibility at the universities taking part in the project, discuss benchmarking criteria, master the main methods that are applied in the process of auditing, carry out a simulation audit at their home institution, and gain skills in report writing. The active training might be carried out by applying blended teaching, i.e. elements of learning resources and reading lists might be delivered using various virtual learning platforms such as Moodle, or another virtual learning environment.

A suggested structure of the training programme is as follows:

Table 2   Structure of the Auditor Training Programme for students						
	UNIT 1	UNIT 2	UNIT 3	UNIT 4	UNIT 5	UNIT 6
9:00 – 12:00	Morning input on <i>ESSA and the general concepts</i> with an interval of a coffee break	Morning input on <i>Auditing, auditing process and roles</i> with an interval of a coffee break	Morning input on <i>Benchmarking criteria</i> with an interval of a coffee break	Morning input on <i>Methods of auditing</i> with an interval of a coffee break	Morning input on <i>Simulation (students simulating the process of auditing)</i> with an interval of a coffee break	Morning input on <i>Reporting</i> with an interval of a coffee break

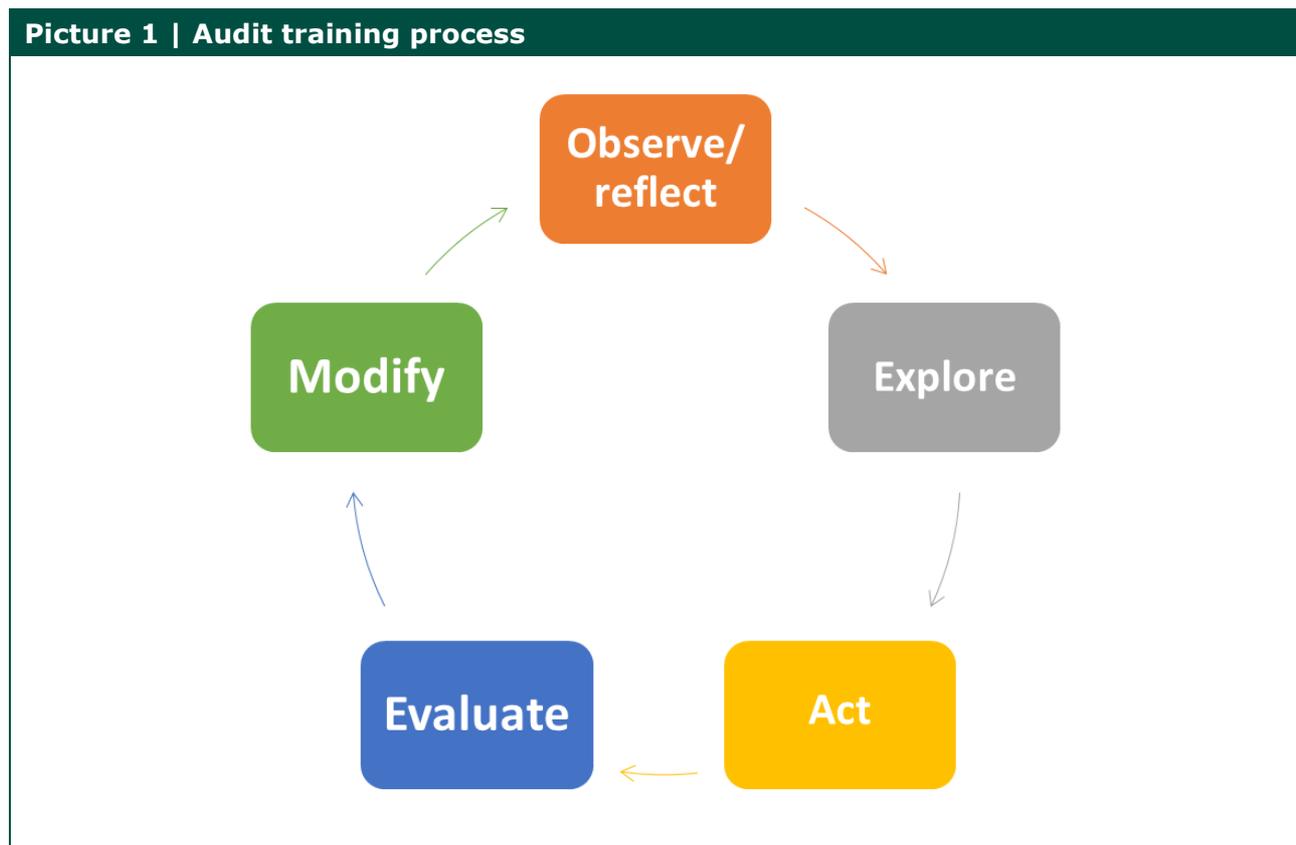
<b>12:00– 13:00</b>	<b>LUNCH</b>					
<b>13:00– 17:00</b>	Afternoon input with an interval of a coffee break	Afternoon input with an interval of a coffee break	Afternoon input with an interval of a coffee break	Afternoon input with an interval of a coffee break	Afternoon input with an interval of a coffee break	Afternoon input with an interval of a coffee break

Each day starts with identification of the main aims of the unit. Students are invited to share their expectations of the day. At the end of each session, time is allocated for questions and answers, and students are asked to reflect on the day and whether their expectations have been met. The course can be delivered over a full week, or on selected days over a longer period according to student availability. The assessment and certification process is designed around a student contribution of 40 hours for this phase of their involvement with the project.

During the post-course phase, student participants carry out the actual audit and reflect on the personal skills gained during the process of auditing. In addition to this, assessment is carried out in line with the principles, procedures and criteria set out in the "Assessment & Certification Manual". Student participants satisfactorily completing the requirements of the assessment gain a Certificate in Social Responsibility as explained in the "Assessment & Certification Manual".

## Methodology and process of the auditor training programme

The auditor training programme is designed as a process, as shown in the diagram below:



### Observe

During the "Observe" phase students carry out desk research on University Social Responsibility, get acquainted with the concept of social responsibility, familiarise themselves with USR within a university setting and with the project itself (e.g. reviewing information about USR on the webpage of their own university and the [ESSA project webpage](#)). This phase might take about 15 hours. The phase focuses on raising awareness of social responsibility in a university setting. The students:

- *Will understand:* the idea of University Social Responsibility (USR), the Benchmark Standards for University Social Responsibility and their criteria, the principles and importance of a social audit.
- *Will know:* the principles of USR, the process of auditing.
- *Will be able to do:* to reflect and make a self-assessment.

- *Will use the following methods:* self-assessment, discussion, mind mapping, video watching and analysis, check-lists, discussions, readings.

## Explore

The "Explore" phase addresses a problem / challenges and includes some readings as indicated in the Pre-course preparatory stage (up to 10 hours). students:

- *Will understand:* the idea of problem solving, ethics as key dimension
- *Will know:* the principles of problem solving
- *Will be able to:* recognise the problem and find solutions
- *Will use the following methods:* reading and analysis, mind mapping, discussions, team working, group presentations, creative visualisation, check-list, review tasks, materials for the practical exercises

## Act

The "Act" phase is intended for training on delivery of the social responsibility audits at higher education institutions. This phase involves collecting data, analysis of data and generating of evidence by means of interviewing, meeting with focus groups and final reporting (40 hours). The students:

- *Will understand:* the methodology of USR auditing
- *Will know:* how to collect data (interviews, surveys, storytelling), analyse and generate evidence, make a review, report and presentation
- *Will be able to:* manage the audit procedure (orientation to the audit procedure, arrangement of the logistics, determination of the auditability of materials, negotiations of the contract, assessment of data, analysis and generation of evidence, preparation of a review, report and presentation, renegotiation, and the final audit report)
- *Will use the following methods:* reading, training (interview, storytelling, survey), learning by doing, reflection, discussion, check-list, materials for the practical exercises

## Evaluate

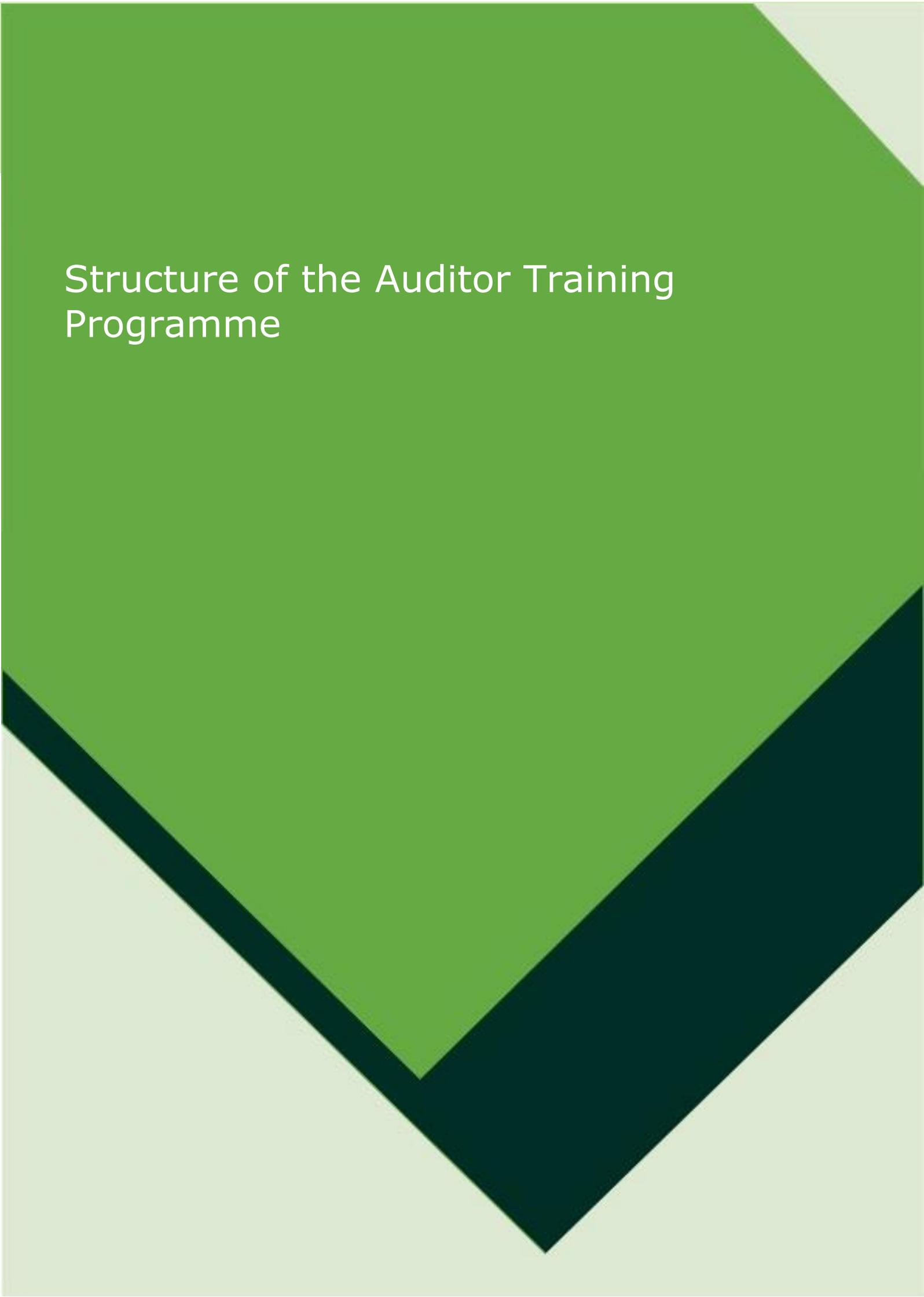
The "Evaluate" phase is related to the [assessment of learning](#) and the completion of a reflective learning blog and provision of feedback, defined as "lessons learned" that might indicate room for improvement (10 hours). Students:

- *Will understand:* the idea of feedback and evaluation, the benefits for auditors and universities
- *Will know:* how to give feedback, how to record and assess their learning experience.
- *Will be able to:* assess their learning experience, write a reflective piece about their learning experience, and make recommendations
- *Will use the following methods:* self-assessment, peer-review, discussion, check-list

## Modify

The "Modify" phase is related to the development of new aims and setting of new directions with an aim to move forward and increase social responsibility at the audited institution. Students:

- *Will understand:* the idea of auditing process development
- *Will know:* how to develop and improve the process of USR auditing
- *Will be able to do:* to work in team, to use the recommendations for a good rapport in the team
- *Will use the following methods:* mind mapping, discussions, checklists and presentations



# Structure of the Auditor Training Programme

## Structure of the auditor training programme

The auditor training programme is composed of six units, its structure is presented in a table below:

<b>Table 3   Scheme of the Auditor Training Programme by units and topics</b>	
<b>UNITS</b>	<b>TOPICS</b>
UNIT 1	<i>Introduction to the project and University Social Responsibility</i> Welcome and introductions Introduction to the training and the Project University Social Responsibility (USR) Student auditor's role
UNIT 2	<i>Introduction to audits and auditing</i> Examples of audits Process and stages of audit Auditor's role and skills
UNIT 3	<i>Introduction to benchmarking criteria</i> The main aspects of benchmarking The Benchmark Standards for USR across the EHEA
UNIT 4	<i>Main methods in auditing and audits</i> Creating instruments for USR auditing Organising USR audit: research methods, results and ethics
UNIT 5	<i>Simulation of audits at home institution</i> Search of document evidence on the Internet Application of auditing methods and instruments Assessment of USR auditing process
UNIT 6	<i>Reporting</i> Report writing Presentation of data to audited institutions

The tables that follow outline the content and structure of each unit in further detail.

## Unit 1. Introduction to the project and University Social Responsibility

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of facilitators to get ready for the training programme	The facilitators set up the room, presentation, ensuring all materials are in the room and the room is well sign posted.	Students can clearly make their way to the room and the facilitators feel well prepared.	We recommend using creative and open learning spaces for the training with free Wi-Fi and easily moveable furniture.
9am	<ul style="list-style-type: none"> <li>Arrival of students</li> <li>Welcome and refreshments</li> </ul>	Informal welcoming of students	Warm and friendly atmosphere for all participants	
	<ul style="list-style-type: none"> <li>Formal welcome</li> <li>Introduction of the facilitators</li> <li>Establishing ground rules</li> </ul> <p>Ice-breaker exercise "Tell us your..." Getting to know every participant of the group</p>	<ul style="list-style-type: none"> <li>Facilitators introduce themselves</li> <li>Students take turns to talk about themselves</li> <li>Students and facilitors co-create ground rules to follow during the training</li> </ul>	<p>Introduction of the team members to each other and an ice-breaker activity to create a fun and friendly atmosphere</p> <p>A mutually agreed on set of ground rules</p>	We recommend using creative learning spaces for the training with free Wi-Fi and easily transformed furniture where people could freely move around.

# Auditor Training Manual

	Activity "Coloured post-it notes"	Each participant will have three post-it notes of different colours. They should write expectations / fears and post them on three whiteboards or walls in the room to remain throughout the week. This exercise helps facilitators to learn about learners' expectations. At the end of the training, they will return to the Post-it notes to observe the main differences from the start of the training	Launching and checking of learners' expectations for the training and for the first day of the training. This will level the understanding in trainings.	Post-it notes, whiteboards and markers are needed to carry out the activity.
10am	Short introduction of all the training programme by day	<ul style="list-style-type: none"> <li>• A project slide with ESSA project</li> <li>• A slide with overall training and every day schedule</li> <li>• 5 minutes are assigned to ask if anyone has questions</li> </ul>	Awareness about the team, the training programme and the training schedule	Resources used: <ul style="list-style-type: none"> <li>• Tables 1 and 2 within this document can be used as slides</li> <li>• Video "<a href="#">University Social Responsibility</a>" link:</li> <li>• Learning resources "UNIT 1"</li> </ul>
	Introduction of ESSA project (a short theoretical overview by the facilitators)	The aim of the activity is to introduce students with: <ul style="list-style-type: none"> <li>• context</li> <li>• project team</li> <li>• goals of the project</li> <li>• outcomes of the project</li> <li>• platforms &amp; resources (using the reading texts provided below and information on the <a href="#">website</a>)</li> </ul>	Students will have knowledge and awareness of the project, project context and University Social Responsibility	Resources: <ul style="list-style-type: none"> <li>• Slides about ESSA project could be used</li> <li>• Learning resources "UNIT 1", the texts might be presented as handouts to students.</li> <li>• <a href="#">Website of the project</a> could be actively used for browsing and googling sessions- <a href="http://www.essaproject.eu">www.essaproject.eu</a></li> </ul> Free Wi-Fi access is needed.
	Description and introduction of the	The aim of the activity is to introduce the main aims and	Students will have knowledge and	Resources:

# Auditor Training Manual

	Auditor training programme (a short theoretical overview by facilitators)	<p>objectives of the auditor training programme and talk to students about:</p> <ul style="list-style-type: none"> <li>• goals</li> <li>• structure</li> <li>• outcomes</li> <li>• practical information about the programme / logistics / time management</li> <li>• credits</li> <li>• assessment</li> <li>• competences gained</li> </ul> <p>10 minutes before lunch are allocated for questions and answers.</p>	awareness of the auditor training programme, goals, competences and skills gained, credit recognition information.	<ul style="list-style-type: none"> <li>• Slides about the training programme and scheme of the training programme as presented in Table 1 and Table 2.</li> <li>• <a href="#">"ESSA Assessment Manual"</a> – please refer to this publication for more information to explain to the learners how they will be assessed.</li> </ul>
12pm	LUNCH BREAK			
1pm	Introduction to the role of an auditor	The aim of the activity is to introduce students with the tasks involved in auditor training and their roles.	Students will have knowledge and awareness of the tasks and roles they will be carrying out during the project activities	<p>Resources:</p> <ul style="list-style-type: none"> <li>• <a href="#">"ESSA Guide for Visiting Student Auditors"</a> - please refer to this template publication to give more information to the learners</li> </ul>
	Introduction to University Social Responsibility	The main aim of the activity is to present the concept of USR.	Students will have knowledge and be able to conceptually understand what University Social Responsibility is about.	<p>Resources:</p> <ul style="list-style-type: none"> <li>• Learning resources "UNIT 1"</li> <li>• ESSA video "What is USR? General concepts"</li> <li>• <a href="#">"ESSA Facilitator Training Manual"</a> - please refer to this publication for further information on the concept of University Social Responsibility and aid your delivery with learners.</li> </ul>

# Auditor Training Manual



3pm	<ul style="list-style-type: none"> <li>Videos of good practices</li> <li>Check-out</li> </ul>	<ul style="list-style-type: none"> <li>The participants will watch videos related to the best practices of university social responsibility.</li> <li>Check-out exercise – students tell what they have learned during the day and their expectations for the day to come. The facilitators of the training programme introduce the next unit.</li> </ul>	<p>The participants will be able to understand how social responsibility works in 'real life'.</p>	<ul style="list-style-type: none"> <li>A YouTube video on USR at the University of Manchester: <a href="https://www.youtube.com/watch?v=JfH9W3TzfiI">https://www.youtube.com/watch?v=JfH9W3TzfiI</a></li> <li>YouTube video about responsible printer cartridge recycling: <a href="https://www.youtube.com/watch?v=ljLisjRLeDM">https://www.youtube.com/watch?v=ljLisjRLeDM</a></li> </ul>
5pm	End of training day			

## Unit 2. Audits and auditing

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of the facilitators to get ready for the training programme	The facilitators set up room, presentation, ensuring all materials are in the room and the room is well sign posted.	The students can clearly make their way to the room and the facilitators feel well prepared.	We recommended using creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.
9am	<ul style="list-style-type: none"> <li>Welcome</li> <li>Feedback from the previous unit</li> <li>Check-in exercise with learning expectations expressed</li> </ul>	<ul style="list-style-type: none"> <li>Review</li> <li>Check-in (this includes making sure everyone is okay, revisiting the ground rules, expectations, highlighting the aims and structure of the day).</li> <li>Ice-breaker (based on a team activity): Facilitator asks all participants to empty their pockets, purses, and wallets of any coins they may have and place them on the table in front of them. If someone does not have any coins or only has very few, others in the room can share their coins with them.</li> </ul>	<ul style="list-style-type: none"> <li>The students review the main points from the previous day.</li> <li>The students have a common understanding of aims and structure of the day to come.</li> <li>The facilitators and students know the levels of expectation.</li> <li>Enhanced team spirit.</li> </ul>	The ice-breaker will be different across different countries – however a team activity should be encouraged, especially one which supports students getting to know each other better.

		<p>Facilitator instructs each person to create their own personal logo using the coins in front of them in just one minute. Other materials they may have on them, such as pens, phones, etc. can also be used in creation of the logo.</p> <p>Next, each participant can explain their logo to the group or if the room was split into groups, the leader can have each group discuss what led to the team logo and what it says about them.</p>		
10am	Introduction to audits and auditing	<p>The aim of this activity is to focus on the idea and conception of audits and auditing and present information to students (a presentation and an overview introduction).</p> <p>Activity "Word Soup" (an individual self-reflection followed by a group activity). During the activity, students reflect what auditing/audits means to them. While thinking</p>	<p>After the activities, students will have an understanding of the main objectives of the session. Students will have knowledge and will be able to explain the conception and idea of auditing and audits.</p>	<ul style="list-style-type: none"> <li>• Reading materials about audits could be used as well as slide presentations. The first presentation will provide an overview of the session and brief introduction into auditing/audits.</li> <li>• Example from General Data Protection Regulation (GDPR). The following links could be used:  <a href="https://ec.europa.eu/commission/sites/beta-political/files/infographic-gdpr_in_numbers_1.pdf">https://ec.europa.eu/commission/sites/beta-political/files/infographic-gdpr_in_numbers_1.pdf</a>  <a href="https://ec.europa.eu/commission/sites/beta-political/files/100124_gdpr_factsheet_mythbusting.pdf">https://ec.europa.eu/commission/sites/beta-political/files/100124_gdpr_factsheet_mythbusting.pdf</a></li> <li>• The activity of the "Word-soup" requires sticker-notes to be used by students.</li> </ul>

		<p>students should focus on key themes, buzz words. Students might write those ideas on post-it notes. After thinking for some time, students provide their feedback and present their ideas to the entire group. After the activity, facilitator delivers a theoretic input – a presentation and discussions about audit concepts and methods.</p> <p>A presentation is about audit concepts, benefits, and confidentiality.</p> <p>10 minutes assigned to questions and answers.</p>	<p>The group will share a common agreement and understanding of what an ESSA audit will look like.</p>	<ul style="list-style-type: none"> <li>• Trainers should provide information on the audits to come.</li> <li>• A video on “What an audit is?” by KTU is used to introduce the concept on an audit.</li> <li>• <a href="#">“ESSA Facilitator Training Manual”</a> - please refer to this publication to give more information to the learners.</li> <li>• An alternative is video “What is an audit” could be used <a href="https://www.youtube.com/watch?v=pkKO9ZNyOIc">https://www.youtube.com/watch?v=pkKO9ZNyOIc</a></li> </ul>
11am	Ecological audit	<ul style="list-style-type: none"> <li>• An activity “Throw the “Apple” and give a word you associate with responsibility” (students get into a circle and throw an item and give a word they associate with the responsibility).</li> <li>• Presentation of the ecological audit approach (overview introduction)</li> <li>• A video (based on the presentation used in the facilitator programme– ecological audit/contextualisation</li> </ul>	<p>The activity will help students clear their minds and get some energy at the same time.</p> <p>Students will develop a basic understanding of an ecological audit and the importance of the context. Students will demonstrate</p>	<ul style="list-style-type: none"> <li>• Students could be asked to undertake some preparatory work before the training for the group mapping exercise (this could include taking photos around the campus / desk-based research).</li> <li>• At the same time, materials and readings on audits as presented within the Auditor training material could be used.</li> <li>• An example about Social Responsibility and Sustainability in the University of Edinburgh could be used with students: <a href="http://www.ed.ac.uk/about/sustainability">http://www.ed.ac.uk/about/sustainability</a></li> <li>• When working on the mapping exercise whiteboards could be used to visualise ideas and get presentations ready. Creativity should be one of the key components in performing the task.</li> </ul>

		<p>concept explained) is used with students as an example to talk about auditing and audits.</p> <ul style="list-style-type: none"> <li>After the video task, a group mapping exercise is used. The participants are grouped into two groups in which they work on a map of actors, institutions and other drivers that influence their University at different levels local, national, international. The results of their findings are presented in a five-minute presentation. Students are informed about presentation making techniques.</li> <li>10 minutes before lunch are allocated for questions and answers.</li> </ul>	<p>knowledge on how external drivers influence USR and practices. Students will be able to use the output of the group mapping exercise to introduce their university to their fellow students</p>	<ul style="list-style-type: none"> <li>Before getting ready to present students should be also informed on presentation techniques such as: <ul style="list-style-type: none"> <li>Preparing a talk that will fit within the time limit you're given.</li> <li>Do focus on the problem.</li> <li>Don't distract from your message by including peripheral topics.</li> <li>Do show some enthusiasm and energy.</li> <li>Don't keep jumping back and forth through your slides.</li> <li>Do face your audience.</li> <li>Do clearly define any terms that may not be familiar to your audience.</li> <li>Do use professional, relevant, beautiful images.</li> <li>Don't start sentences with "So"</li> <li>Don't end sentences with "right?" or "OK?"</li> <li>Don't fill a slide with text bullet points.</li> </ul> </li> <li>Finley, D., <i>Public speaking: some dos and don'ts</i>, <a href="http://www.aoc.nrao.edu/~dfinley/speaking.html">http://www.aoc.nrao.edu/~dfinley/speaking.html</a></li> <li>Sandlin, K., (2015, February), Six dos and six don'ts for your best presentations, <a href="https://generalassemb.ly/blog/six-dos-six-donts-best-presentation/">https://generalassemb.ly/blog/six-dos-six-donts-best-presentation/</a></li> </ul>
12pm	LUNCH BREAK			
1pm	Ecological audit	<ul style="list-style-type: none"> <li>Presentations -student groups present their ecological maps to a group of invited internal stakeholders.</li> <li>Time for questions and answers as well as group</li> </ul>	<p>Students will develop their communication and public speaking skills through their presentations.</p>	<ul style="list-style-type: none"> <li>Students should be able to use whiteboards or multimedia to present their findings.</li> <li>Reading materials on auditing could be used during the class as handouts on the process of auditing.</li> </ul>

		discussion of results is included.		
2pm	The process of an audit (the main stages of the auditing are explained: the process of getting ready to an audit, the process of auditing and activities after the audit).	<ul style="list-style-type: none"> <li>The aim of the session is to introduce students to the main stages of an audit.</li> <li>During a presentation – theoretical input the main stages (pre-auditing, auditing and post-auditing) are discussed. Each stage will include an overview, details of what this stage includes and then examples of practice through videos and case studies).</li> <li>After a theoretical introduction, a group activity is applied. Students receive “action cards” explaining the activities used during the main stages of auditing. They will have to either map these onto the pre, during or post audit sections. This will generate a checklist for the student auditors.</li> <li>10 minutes before the break are allocated for questions and answers.</li> </ul>	<ul style="list-style-type: none"> <li>Students will gain a common and enhanced understanding of the audit process.</li> <li>In addition to this, students will gain an understanding of what a good audit looks like through the examples of good practices analysed.</li> </ul>	<ul style="list-style-type: none"> <li>Preparatory work before the training includes identifying suitable cases – examples that could be discussed and analysed during the session.</li> <li>Action cards should be prepared in advance on larger post-it notes with each card indicating a stage of an audit.</li> <li>Action cards may also be virtual and presented on slides.</li> </ul>

3pm	The process of an audit (methods, the auditor role in the auditing process and skills)	<ul style="list-style-type: none"> <li>• Group brainstorming (students will be asked to identify methods that could be used during the audit – i.e. interviews, focus groups, review of documents).</li> <li>• Showing the NUS auditor video.</li> <li>• The aim of a short theoretical presentation is to provide students with the main methods and the role of an auditor in the auditing process.</li> <li>• A discussion (students will be asked to group to discuss the role of the auditor, his main responsibilities, expectations, professional standards and ethics. Pairs will provide feedback to the entire group).</li> <li>• A presentation (a detailed explanation of the auditor’s role and skills).</li> <li>• 10 minutes are allocated for questions and answers.</li> </ul>	<ul style="list-style-type: none"> <li>• Students will gain a common and enhanced understanding of what an audit and the auditor role is.</li> <li>• This also involves a short introduction of the main methods (this will be discussed in more detail during other days).</li> <li>• Students will gain a common understanding of what their role as auditors will be and what skills they will acquire.</li> </ul>	<ul style="list-style-type: none"> <li>• The preparatory work before the training will include identifying videos (including the NUS auditor video, link: <a href="https://www.youtube.com/watch?v=AFJ98Yk1RWo">https://www.youtube.com/watch?v=AFJ98Yk1RWo</a>)</li> <li>• Video by the University of Porto on Social Audits: <a href="https://www.youtube.com/watch?v=nCqbaGIMONG">https://www.youtube.com/watch?v=nCqbaGIMONG</a></li> <li>• Reading materials on auditing could be used during the class as handouts on the process of auditing.</li> <li>• The facilitators of the auditing programme should discuss the process of auditing that students are going to be involved in during the next stages of the project.</li> </ul>
4.30pm	Evaluation of the day Check-out	<ul style="list-style-type: none"> <li>• The aim of this session is to reflect and provide feedback on the learning</li> </ul>	After the tasks the learning experience is	Carrying out the activity it is important to facilitate the session in an informal way, as students should be starting to wind down at this point.

		<p>experience gained. Students are paired and asked to discuss the positive and negative sides of auditing, areas where they would need to get more information as well as how it meets their audit-related expectations. At the end of the activity, students are asked to provide overall feedback to the entire group.</p> <ul style="list-style-type: none"> <li>• A quiz activity is proposed - students are asked to come up with a question each to see if students have understood and mastered the main learning outcomes. Other students will be asked to answer the questions posed. This exercise is used as a revision of the entire day</li> <li>• Check-out exercise – students are asked to share what they have learned during the day and what are their expectations for the day to come. The facilitators of the training programme</li> </ul>	<p>launched. Students will share feedback on whether the training day met expectations. Students will also provide insight into the level of knowledge gained during the day. Students will have mastered the concept of an audit, the main stages of auditing as a process, the role they are going to play. At the end of the day students will know what to expect the following day.</p>	
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		introduce the plan of the next unit.		
5pm	End of training day			

## Unit 3. Benchmarking criteria

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of facilitators to get ready for the training programme	The facilitators set up the room, presentation, ensuring all materials are in the room and that the room is well sign posted.	The students can clearly make their way to the room and the facilitators feel well prepared.	We recommended using creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.
9am	<ul style="list-style-type: none"> <li>Feedback from the previous unit</li> <li>Check-in and expectations of learners</li> </ul>	<ul style="list-style-type: none"> <li>Review</li> <li>Check-in activity: The aim of this activity is to find out the expectations of students for the forthcoming training. Participants are asked to write their expectations on sticker-notes. Then the notes are placed on walls or whiteboards to remain there during the day.</li> </ul>	<ul style="list-style-type: none"> <li>The students review the main points from the previous day.</li> <li>The students will share their expectations for the day. This will help the facilitators to have an understanding of what students already know and what has to be provided during the day.</li> </ul>	<ul style="list-style-type: none"> <li>Post-it notes, markers for students.</li> <li>Instead of writing on post-it notes students could write or visualise their expectations on whiteboards.</li> </ul>

10am	A theoretical overview of the concept and practice of benchmarking	The aim of the activity is to introduce students to the concept and origins of benchmarking, its objectives and forms.	Students will develop knowledge of and be able to explain the concept of benchmarking.	As a resource information about a project on USR and benchmarking could be used: <a href="http://www.eu-usr.eu/wp-content/uploads/2015/04/D1.4-Final-Report-Public-Part-EN.pdf">http://www.eu-usr.eu/wp-content/uploads/2015/04/D1.4-Final-Report-Public-Part-EN.pdf</a>
11am	World café exercise to learn about USR Benchmarks in EHEA	<p>The aim of the activity is to introduce students to the Benchmarks Standards for USR in EHEA.</p> <ul style="list-style-type: none"> <li>• Students form groups and get handouts with material about benchmarking standards and videos with examples. Each group “owns” 2 Standards</li> <li>• Step 1: Using material provided, familiarise themselves with the criteria so that they could present it to their peers from another group.</li> <li>• Steps 2-3: Groups rotate and share knowledge about “their” Standards</li> </ul>	After the completion of the exercise students will have an understanding of the main groups/themes of benchmarking criteria and will be able to recognise and identify them in practical tasks when getting ready to audits.	<ul style="list-style-type: none"> <li>• Text “Benchmarking criteria” divided and made as handouts is presented in the slides.</li> <li>• Video examples: <ul style="list-style-type: none"> <li>- Support for low-income students - <i>'Hamilton' Education Program Invited Low-Income Students on Stage</i>: <a href="https://www.youtube.com/watch?v=ade6umbKZWw">https://www.youtube.com/watch?v=ade6umbKZWw</a></li> <li>- <i>How recycling works at the University of Edinburgh</i>: <a href="https://www.youtube.com/watch?v=KmGHsdj9oGQ">https://www.youtube.com/watch?v=KmGHsdj9oGQ</a></li> <li>- <i>College &amp; University Recycling</i>: <a href="https://www.youtube.com/watch?v=AsFlwbYsEns">https://www.youtube.com/watch?v=AsFlwbYsEns</a></li> <li>- <i>Environmental sustainability at the University of Surrey</i>: <a href="https://www.youtube.com/watch?v=TT0E2QY1Vao">https://www.youtube.com/watch?v=TT0E2QY1Vao</a></li> <li>- <i>Fair trade at the University of Edinburgh</i>: <a href="https://www.youtube.com/watch?v=VBVxchIiMkI">https://www.youtube.com/watch?v=VBVxchIiMkI</a></li> </ul> </li> <li>• “ESSA Facilitator Training Manual” - please refer to this publication for more information about the Benchmark Standards for USR.</li> </ul>
12.30 pm	LUNCH BREAK			

1.30pm	Analysing documentary evidence against the Benchmarking criteria	The aim of this activity is to develop a deeper understanding of the benchmarking criteria. The students divide into two groups and are asked to look through a document while trying to find out the evidence of benchmarking criteria in the document used. Carrying out this exercise, students should be aware of the themes and the criteria.	During the activity students will get knowledge and practical – analytical skills while analysing documents and trying to map the evidence found with the USR benchmarking grid.	<p>The instructions facilitators might give for the group work:</p> <ol style="list-style-type: none"> <li>1. Form new groups.</li> <li>2. You will be provided with a document to read and to explore in relation to the Benchmarking criteria.</li> <li>3. Identify which criteria you think are evidenced in the document and what the evidence indicates about the extent to which the university concerned meets these criteria?</li> <li>4. Share your views within the group, reconcile any differences and prepare a brief report to present to a plenary session.</li> </ol> <p>Facilitators might use examples to illustrate benchmarking criteria. Documents and evidence available from the institution to be audited could be used.</p> <p>Links for example pieces of evidence:</p> <ul style="list-style-type: none"> <li>• <i>Corporate Social Responsibility at the University of Edinburgh:</i> <a href="http://www.ed.ac.uk/about/sustainability">http://www.ed.ac.uk/about/sustainability</a></li> </ul> <p>Examples from documents:</p> <ul style="list-style-type: none"> <li>• <i>The Academic Code of Ethics at KTU:</i> <a href="https://en.ktu.edu/documents/ht">https://en.ktu.edu/documents/ht</a></li> </ul>
3pm	Preparation and giving a presentation to the group	<ul style="list-style-type: none"> <li>• Based on the analysis of documentary evidence, the groups have to prepare a presentation on the analysis they have done. They can choose the method presentation delivery (PowerPoint, poster, etc.). During the</li> </ul>	<ul style="list-style-type: none"> <li>• During the activity students will master analytical skills since the evidence taken will have to be mapped with the benchmarking</li> </ul>	Computer or laptop / paper for posters / whiteboards

		<p>presentation, students should mention benchmarking criteria, map evidence with the benchmarking themes and analyse particular cases.</p> <ul style="list-style-type: none"> <li>• Each group has to deliver a presentation and elicit some feedback on the presentation done. This is a time to share ideas / doubts that are related to the themes. A discussion after the presentations could round up the activities of the entire day.</li> <li>• Check-out exercise – the students are asked to say what they have learned during the day and what are their expectations for the day to come. The facilitators introduce the plan for the following day</li> </ul>	<p>criteria. Oral and written communication skills and presentation making techniques are practiced as well.</p> <ul style="list-style-type: none"> <li>• The facilitators get feedback about students' learning experience and if their expectations were met.</li> </ul>	
5pm	End of training day			

## Unit 4. Main methods in auditing and audits

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of the facilitators to get ready for the training programme	The facilitators set up the room, presentation, ensuring all materials are in the room and that the room is well sign posted.	The students can clearly make their way to the room and the facilitators feel well prepared.	We recommended using creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.
9am	<ul style="list-style-type: none"> <li>• Feedback from the previous unit.</li> <li>• Check-in</li> </ul>	<ul style="list-style-type: none"> <li>• Review</li> <li>• Check-in exercise "Draw your mood". The aim of this activity is to raise student awareness about how challenges, e.g. some difficult stages of the audit process may affect their emotions and motivation.</li> <li>• The students sit on chairs in a small circle.</li> <li>• The facilitator gives them paper and students draw the faces that reflect their mood. They comment briefly, how they feel. The facilitator also demonstrates his/her face and gives comments how he/she feels. The facilitator also motivates the students by helping them to recognise the longer term benefits</li> </ul>	<ul style="list-style-type: none"> <li>• The students review the main points from the previous day.</li> <li>• The students will be better prepared to face challenges during the audit visit.</li> </ul>	Resources: Post-it notes, markers for students.

		and challenges they may experience during the project will generate.		
10am	Introduction to research approaches: qualitative and quantitative. Gathering group experience and learning expectations of students	<p>The aim of this session is to provide a short overview of the main research methods that are used to carry out audits and collect information.</p> <p>During the time assigned for gathering group's experience, students are asked questions: what kind of methods they have heard of and what they already know.</p> <p>A reflection in the circle:</p> <ul style="list-style-type: none"> <li>• Everyone briefly presents personal experience: what kind of methods he/she has heard of and what he/she already knows.</li> <li>• The facilitator writes down the main thoughts on a big sheet of paper or a whiteboard (a marker and a sheet of paper are needed).</li> <li>• The facilitator summarises experience of the group in a few sentences.</li> </ul>	The students should have the same level of knowledge on the main methods.	Presentation slides "Research approaches: qualitative and quantitative"

10.30am	Main research methods in auditing	<p>The facilitator presents the five main research methods used in the ESSA audit:</p> <ul style="list-style-type: none"> <li>• document analysis</li> <li>• questionnaires interviews</li> <li>• focus groups</li> <li>• site observation</li> </ul>	<p>The students should have an understanding of the main methods used in auditing.</p>	<p>The facilitator uses slides of Unit 4, explains research methods and discusses them with the group. For more information about focus group, questionnaire and interview techniques, please see <a href="#">The Facilitator Training Manual</a>.</p> <p>The facilitator and students watch video / examples:</p> <ul style="list-style-type: none"> <li>• <i>Document analysis:</i> <a href="https://www.youtube.com/watch?v=kSWvAmnlho8">https://www.youtube.com/watch?v=kSWvAmnlho8</a></li> <li>• <i>Questionnaires:</i> <a href="https://www.youtube.com/watch?v=7onVHIkS1YY">https://www.youtube.com/watch?v=7onVHIkS1YY</a></li> <li>• <i>Interviews:</i> <a href="https://www.youtube.com/watch?v=6PhcglOGFg8">https://www.youtube.com/watch?v=6PhcglOGFg8</a></li> <li>• <i>Focus groups:</i> <a href="https://www.youtube.com/watch?v=Auf9pkuCc8k">https://www.youtube.com/watch?v=Auf9pkuCc8k</a> <a href="https://www.youtube.com/watch?v=cCAPz14yjd4">https://www.youtube.com/watch?v=cCAPz14yjd4</a></li> <li>• <i>Site observation:</i> <a href="https://www.youtube.com/watch?v=ZP6YzRR0ISk">https://www.youtube.com/watch?v=ZP6YzRR0ISk</a></li> </ul>
11.30am	Creating auditing instruments	<p>The students work in pairs on the five main research methods:</p> <ul style="list-style-type: none"> <li>• document analysis</li> <li>• questionnaires</li> <li>• interviews</li> <li>• focus groups</li> <li>• site observation</li> </ul> <p>Creating instruments for USR auditing. Each pair chooses one benchmark to work on.</p> <p>The facilitator divides students into pairs. Students can choose space where they want to work together (a room, a hall,</p>	<p>The students should be able to explain what the main methods are and to be able to apply different methods to benchmarks and audits to come.</p>	

		<p>library facilities, etc.). The students work in pairs on the 5 main research methods 40 min.</p> <p>The facilitator gives drafts and materials for the task:</p> <ul style="list-style-type: none"> <li>• <i>Document analysis</i>: ESSA webpage, document reading Work in pairs with different kind of pieces of information uploaded on ESSA webpage.</li> <li>• <i>Questionnaires</i>: empty A4 sheets of paper for students to formulate questions.</li> <li>• <i>Interviews</i>: empty A4 sheets of paper for students to formulate questions.</li> <li>• <i>Focus groups</i>: empty A4 sheets of paper for students to formulate questions.</li> <li>• <i>Site observation</i>: empty A4 sheets of paper for students to formulate a monitoring protocol.</li> </ul> <p>The students will use the research instruments they have developed in the simulation of audit and during the audit itself at a host university.</p>		
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		<p>The students return to the room. The facilitator organises exchange of the research instruments: each pair receives the instruments of another group (pair). The students have to write feedback to the instruments they got (20 min). The students share and give comments (15 min.) and return the research instrument with written comments to the authors.</p> <p>The students share their feedback: what are the main problems and difficulties? The facilitator moderates the discussion and answers questions (15 min).</p> <p>A "top tips" discussion.</p>		
1pm	The students look around the campus + grab their lunch	<ul style="list-style-type: none"> <li>• Site observation</li> <li>• Role-play</li> </ul> <p>Activity: The facilitator identifies some places where the students can have/take away their lunch. The facilitator reminds that students (as a part of their pair work) have created their auditing protocol for site</p>	The students should be able to apply the site observation method to benchmarks and audits to come.	Site observation audit protocol from the <a href="#">Audits manual</a> .

		observation. The facilitator gives copies to each pair. The students organise the process themselves; have a look around the university campus and fill in the auditing protocol.		
3pm	Discussion and analysis of the University campus observation	Students present and discuss their findings	Students should be able to apply the site observation method to benchmarks and audits to come.	
3.30pm	Role-play exercise to practise interview and focus group techniques	<p>Students use the questions they came up with during the activity of "Creating instruments of USR auditing" and practice role-playing.</p> <ul style="list-style-type: none"> <li>Students practise in pairs interviewing and moderating a focus group, (if the auditor group is big, e.g. about 10 students they change roles to be members of a focus group and moderators. If the group is small, facilitators might invite other teachers and/students to be members of a focus group).</li> </ul>	The students should be able to apply the interview and focus group method to benchmarks and audits.	

		<ul style="list-style-type: none"> <li>• Facilitators observe and present feedback.</li> </ul>		
4.30	Organising USR audit: research methods, results and ethics	<ul style="list-style-type: none"> <li>• Discussion on research planning and analysis of results</li> <li>• Discussion about ethics.</li> </ul> <p>The facilitator gives questions for a discussion in groups of three (20 min.). The main questions are:</p> <ol style="list-style-type: none"> <li>1. How to plan the research process?</li> <li>2. How to analyse and understand the results?</li> </ol> <p>The facilitator gives his/her comments.</p> <ol style="list-style-type: none"> <li>3. Ethics. What we should think about before starting the research?</li> </ol> <p>The facilitator provides his/her comments and shows the slide with the main research ethics principles.</p> <p>The facilitator asks the students the questions mentioned above, and writes ideas, thoughts on the whiteboard or paper. Finally, the group has 3 sheets of paper (or whiteboards) with suggestions for auditing and possible problems.</p>	Students should be able to organise the research process and should know how to deal with problems.	

		During the check-out (10 min.) session students summarise the day and ask questions they have.		
5pm	End of training day			

## Unit 5. Simulation of audit

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of the facilitators to get ready for the training programme	The facilitators set up the room, presentation, ensuring all materials are in the room and the room is well sign posted.	The students can clearly make their way to the room and the facilitators feel well prepared.	We recommended using creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.
9am	Feedback from the previous unit. Check-in.	<ul style="list-style-type: none"> <li>Review</li> <li>Check-in exercise: "Building a creative team". The facilitator shows the slide with an image of six hats. Each student picks one colour and reflects in two sentences on USR audit challenges. Each thinking role represents a coloured symbolic "thinking hat". By mentally wearing and switching "hats", the facilitator can easily focus or redirect thoughts, the</li> </ul>	<ul style="list-style-type: none"> <li>The students review the main points from the previous day.</li> <li>The students learn how to divide ideas into clear functions and roles.</li> </ul>	

		<p>conversation, or the meeting. The exercise is a simple, effective parallel thinking process and helps learners to be more productive, focused, and mindfully involved. The facilitator explains that this method will be useful if a team is stuck in the process of auditing.</p>		
10am	Introduction: simulation	<p>Presentation: "Simulation" The facilitator presents the method of simulations and explains this process as pilot research, which can be improved before starting the auditing. The students should be able to organise the research process and know how to deal with problems during the simulation phase. The activity helps the students to get ready for the auditing process.</p>	<p>The students know what simulation is; what the main principles of simulations are and prepare for the real audit.</p>	
11am	Document analysis from institutional websites	<p>The facilitator divides the students into small groups. The students can choose a space where they want to work together (a room, a hall, etc.). The students work in small groups, google and search for</p>	<p>The students should be able to apply document analysis to benchmarks and audits.</p>	

		<p>the evidence of documents on the Internet.</p> <p>At the end of the session, the students come up with the evidence found and share their experience with the facilitator. The facilitator answers questions.</p>		
11.30am	Improving auditing methods and instruments	<p>The facilitator divides the students into small groups and gives drafts and materials (documents, reports) needed for the task aimed at improving and preparing research instruments. Based on the analysis of documents that were provided to the students, the groups improve research instruments for data collection devised earlier in the training (site observation monitoring protocols, questionnaires, interview questions, focus groups). The students rethink the design. Finally, the students print and make photocopies of questionnaires, interviews questions, observation protocol, etc.</p>	<p>The students should be able to improve research instruments for USR auditing.</p>	

1pm	Simulation of the audit process institution (Part 1) + grab their lunch	<p>Work in two groups: the students observe their university campus and use interview questions</p> <p>The students work in two groups:</p> <ul style="list-style-type: none"> <li>• Group 1 – the students observe their university campus.</li> <li>• Group 2 – the students conduct interviews with university staff members.</li> </ul>	The students should be able to apply research instruments (site observation, surveys) for USR auditing.	The facilitators pre-arrange interview times with staff in advance.
2.30pm	Simulation of audit process at own institution (Part 2)	<p>Work in 2 groups: the students conduct interviews and the process of focus group meeting.</p> <p>The students work in 2 groups:</p> <ul style="list-style-type: none"> <li>• Group 1– the students conduct interviews. The facilitator distributes the contacts of staff members.</li> <li>• Group 2 - students conduct focus groups.</li> </ul>	The students should be able to apply research instruments (interviews, focus groups) for USR auditing.	The facilitator arranges a meeting with staff members and invites the staff members who have reserved time for participation in focus groups or interviews.
3.30pm	Analysis of a case study – your institution	<ul style="list-style-type: none"> <li>• The facilitator makes a short presentation on a case study topic (15 min.) explaining how to use this method, what is this method used for and what are the main methods</li> </ul>	The students should be able to analyse the USR audit case study.	<p>References about case studies:</p> <p><a href="https://research-methodology.net/research-methods/qualitative-research/case-studies">https://research-methodology.net/research-methods/qualitative-research/case-studies</a>.</p> <p><a href="https://phd-research-methodology.blogspot.com/2015/10/the-case-study-research-method-dan.html">https://phd-research-methodology.blogspot.com/2015/10/the-case-study-research-method-dan.html</a>.</p>

		<p>used to analyse research results.</p> <ul style="list-style-type: none"> <li>Students analyse, summarise the USR audit results of their institution (45 min.), and take notes.</li> </ul>		
4.30	<ul style="list-style-type: none"> <li>SWOT analysis for USR auditing process assessment</li> <li>Check-out</li> </ul>	<p>Discussion on SWOT analysis. The aim of doing the SWOT analysis is to assess the USR auditing process. Students can predict the risks, difficulties and to rethink what could be improved.</p> <ul style="list-style-type: none"> <li>The facilitator organises the SWOT discussion and allocates 5 minutes for each element. During the discussion, students fill in a table of the SWOT analysis on big sheets of paper.</li> <li>The facilitator asks students to share their ideas on SWOT analysis elements: strengths, weaknesses, opportunities, threats. He/she writes down the ideas, thoughts on a big sheet of paper. Finally, the group provides</li> </ul>	<p>The students should be able to assess the USR auditing process.</p> <p>Time for questions and answers</p>	<p>References about SWOT: <a href="https://rapidbi.com/swot-analysis-for-schools-and-education/">https://rapidbi.com/swot-analysis-for-schools-and-education/</a></p>

# Auditor Training Manual



		<p>suggestions for auditing and possible problems.</p> <ul style="list-style-type: none"><li>• During the check-out, 10 minutes are allocated for questions and answers.</li></ul>		
5pm	End of training day			

## Unit 6. Reporting

Time	Activities	Methods	Outcomes	Notes / Resources
8am	Arrival of the facilitators to get ready for the training programme	The facilitators set up room, presentation, ensuring all materials are in the room and the room is well sign posted.	The students can clearly make their way to the room and the facilitators feel well prepared.	We recommended using creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.
9am	<ul style="list-style-type: none"> <li>• Feedback from the previous day.</li> <li>• Check-in</li> </ul>	<ul style="list-style-type: none"> <li>• Review</li> <li>• Check-in. The aim of this activity is to find out students expectations. The participants write their expectations on post-it-notes. Then the notes are placed on walls or whiteboards, they will be reviewed at the end of the day.</li> </ul>	<ul style="list-style-type: none"> <li>• The students review the main points from the previous day.</li> <li>• The students will provide their expectations for the day. This will help the facilitators – trainers of the programme to have an understanding on what the students already know and how to adjust the learning activities.</li> </ul>	<p>Post-it notes or a whiteboard, and markers.</p> <p>It is recommended to use creative and open learning spaces for the training with free Wi-Fi and easily transformed furniture.</p>

	<p>Energizer activity “What do I know about a report”?</p>	<p>Initially, the facilitator presents the aim of the training day. The activity aims at finding out what kind of knowledge and awareness students already have. Having asked the question of “What do you know about a report writing or what a report is?” students are given 5 – 10 minutes in silence and have to write answers or ideas (one word) on a post-it note. Next, students take turns to present their idea to the rest of the group. Then the entire group has to find a common agreement by arranging the post-it notes with the ideas in order to have the overall understanding of the group on what a report is.</p>	<p>The facilitators will see the level of knowledge related to reporting. The students will collect ideas and while brainstorming will share their ideas about a report and reporting as well as prepare a collective presentation on what a report means to the entire group.</p>	
10am	<p>Reading activity about reporting</p>	<p>The aim of this session is to provide students with a theoretical input on report writing. The students split into two groups and get a text each - “Some facts about reports” and “The process of writing a report”. The students have 20 minutes to read their texts and then present the text to their fellow students. After sharing their knowledge, the students</p>	<p>The students will understand how to write a report. Having completed the task the students will have knowledge on the structure of the report, will be able to differentiate a report from an essay and will</p>	<p>Handouts of texts in learning resources on UNIT 6 “Some facts about reports” and “The process of writing a report”. The facilitators should make copies of both texts to each participant.</p> <p>An example of report from <i>Kaunas University of Technology, External Evaluation</i>:  <a href="https://en.ktu.edu/wp-content/uploads/sites/5/2018/05/ktu_2014_skvc_external_evaluation_summary_en.pdf">https://en.ktu.edu/wp-content/uploads/sites/5/2018/05/ktu_2014_skvc_external_evaluation_summary_en.pdf</a></p>

		get an understanding about report writing. Comprehension check questions follow.	know how to use a formal register.	
11am	Analysis of best practises	The aim of this session is to analyse an exemple report presented within learning resources, i. e. a report "Budget Challenges". Having read the text students openly discuss the idea, structure, language of the report. Comprehension check activities, provided as learning resources, might be used.	The students will practically analyse an exemplary report to understand the structure of a report and will develop analytical skills, related to report writing.	Handouts on an exemplary report "Budget Challenges" in Learning Resources "UNIT 6". As an alternative, the participants of the training session could browse for an online (governmental / university's) report and discuss it during the training session.  An example of report from <i>Edinburgh Napier University</i> : <a href="https://www.qaa.ac.uk/docs/qaa/reports/edinburgh-napier-university-elir-technical-15.pdf?sfvrsn=86d8f581_6">https://www.qaa.ac.uk/docs/qaa/reports/edinburgh-napier-university-elir-technical-15.pdf?sfvrsn=86d8f581_6</a>
12pm	A short report of the day or a week	The aim of this activity is to provide the students with an opportunity to practice report-writing skills. Students can choose whether to write a short one page report about the week, the day, or any other event based on the example analysed before (25 minutes are assigned). Before writing, students watch a video "Structure of an Academic Report", then, they write a one-page report. Finally, students present their written reports and have a discussion.	The students will gain practical skills in report writing	<i>YouTube video about report writing:</i> <a href="https://www.youtube.com/watch?v=AFGNKJruxdg">https://www.youtube.com/watch?v=AFGNKJruxdg</a>  The students get handouts on an exemplary report writing.  The students could also use documents, evidence that they found while studying Units 3 and 5.
1pm	LUNCH BREAK			

2pm	Writing a report on the evidence of UNIT 3 / UNIT 5	The aim of the session is to write an extensive report on the evidence of USR that was collected while studying Units 3 and 5. The result of the session is a written report on USR or the simulation activities carried out. The students should have an e-version of the report to demonstrate to other students as well as to send the report to the facilitators by e-mail.	The students will gain skills of report writing.	A video "Report writing" could be demonstrated before the process of writing a report: <a href="https://www.youtube.com/watch?v=FXIuHOFAxos">https://www.youtube.com/watch?v=FXIuHOFAxos</a>  The students could also use documents, evidence that they found while studying Units 3 and 5. The facilitators should make themselves available upon the needs of the students.
3.30pm	Presentation of reports and discussion	The aim of the session is to present the report to the entire group. The students discuss the main ideas they focused on and present the report they have written. After the presentations, facilitators provide feedback. The students discuss what was difficult, what other areas need to be improved.  Looking at a partner's reports students analyse reports together and provide feedback to each other.	The students will gain skills in report writing as well as oral communication skills while giving feedback to their fellow students.	The facilitators will need to photocopy some of the reports so that students could exchange them and provide feedback to each other during the next activity planned. The report is no longer that 1 – 1.5 pages (Times New Roman 12 font written with 1.5 spaces).
	Check-out Matching the expectations of the entire week	The aim of the activity is to collect experience of the students and discuss their	Expectations of students are revisited and discussed.	

	and a discussion	<p>feelings after the training programme.</p> <p>A skype call to students from universities participating in the audit could be useful for the group to be acquainted before the audit visit.</p> <p>Facilitators answer any other questions.</p>	<p>The students will feel more encouraged after a virtual meeting with their peers from the partner university.</p>	
5pm	End of training day			

Unit materials

## Unit materials

This chapter provides facilitators with suggested activities, resources and materials that might be used in delivering each unit of the auditor training programme. Some of this material is repeated in the auditor manual templates designed for student auditors, acting as a reminder of the material covered during the auditor training programme whilst they are delivering the audit.

### Unit 1. Some facts about ESSA and the Certificate in Social Responsibility Auditing

**Introductions and ground rules:** Ask students to write their name, degree, where they are from, hobbies, where their interest in social responsibility and sustainability on a post-it note, and then ask them to share with the wider group. This includes the facilitators.

On a separate post-it note, ask students to contribute an idea/principle to the ground rules. Go through the suggestions and the image on the slide – highlight that people can add to these and we will be asking for feedback at the end of the day.

**Check-in exercise:** What are your expectations for the programme? Write down your expectations for this day on a post-it note and stick it to the wall. We will come back to your expectations at the end of the day.

**Welcome to the ESSA project:** Presentation of the ESSA website, Facebook page and Twitter (#essa\_usr).

**Overview of the Auditor Training Programme:** Presentation of the Unit topics and the training structure. Presentation of the learning outcomes of Unit 1 and the full training programme.

**Introduction of the ESSA project:** aims, partners, activities, assessment and certification, Open Educational Resources developed, impact, legacy and next steps, online resources.

Commencing 1 September 2016, this three-year project aimed to create a more flexible approach to student learning, assessment and certification across Europe's higher education sector, in a way that will enhance graduate employability. The aim was to improve levels of student satisfaction by allowing them to engage with real world issues in a sphere that is of considerable significance to many of them - social responsibility.

Utilising the Benchmark Standards for University Social Responsibility across the European Higher Education Area (EHEA), that were produced in an earlier EU Lifelong Learning Programme funded project, the work of the ESSA project developed the concept of facilitation of learning as a key to effective engagement of students as active agents of their own learning.

University Social Responsibility sets out the main principles on how to guide organisations to act “in an ethical and transparent way that contributes to the health and welfare of society”, according to ISO business standards. In many cases University Social Responsibility describes the way universities are making a difference to the social and economic well-being of local communities through teaching, research, and public events and activities. As an additional resource the web link about the University Social Responsibility could be used: <http://www.eu-usr.eu/wp-content/uploads/2015/04/D1.4-Final-Report-Public-Part-EN.pdf> A YouTube video on the social responsibility at the University of Manchester is available as an example: <https://www.youtube.com/watch?v=JfH9W3TzfiI>

By using a group of trained facilitators, a cohort of 60 students were drawn from the three participating universities during the Erasmus+ funded development of the ESSA project and trained as Social Responsibility Auditors in a student-centred, action-reflection learning based programme, delivered in blended mode. This culminated in four audits of different European higher education institutions, carried out by cross-national teams of the students involved.

Students participating in the ESSA project can be awarded a Level 6 EQF Certificate in Social Responsibility Auditing following satisfactory completion of:

- the training,
- the linked audit
- the assessment requirements by means of production of individual e-portfolio of evidence of learning.

Integral to the project was production of a significant, innovative Open Education Resource (OER) that include:

- a Facilitator Training Manual
- an Auditor Training Scheme
- an Auditor Manual and
- an Assessment Manual.

The OER was presented at a Multiplier Events held by partner universities in Spring/Summer 2019. The project concluded 31 August 2019, with the OER being available for use across the territories of the European Higher Education Area from then on.

During the Erasmus+ funded period, the project consortium consisted of eight partners from higher education institutions and students’ unions. Jointly they established a common body of knowledge on university social responsibility certification to boost their university’s third mission. The project activities resulted in a facilitator training programme for staff and an auditor training programme for students. Based on these trainings, an audit manual was produced as well as a framework for the assessment of learning outcomes.

**Figure 1 | Project partners**



## Unit 2. Audits and auditing

An audit is an examination and/or verification of specific information/accounts/facilities. In most cases, this is done against a pre-defined set of criteria. In the case of ESSA, the criteria used in the audit are the University Social Responsibility benchmarks.

The focus of an audit is not necessarily to find fault; it is to establish where an organisation is at (benchmark), and to provide constructive feedback, to enable them to improve their performance. This will be the focus while carrying out ESSA audits.

Audits can be highly beneficial to organisations. Within the ESSA project, they aim to deliver on the following benefits:

- Provide staff and students with a better understanding of university social responsibility
- Create a positive impact on universities in terms of their commitment to social responsibility
- Offer ideas and suggestions of how universities can improve their social responsibility.

At the same time, the audits will give students, who are taking the roles of an auditor, the opportunity to take on practical experience and insight into real-life situations, and at the same time get formal recognition for their work.

### Audits and confidentiality

During the training, it should be emphasised to students that they may be given privileged information while conducting audits e.g. data given to them as part of documentary evidence that is not publicly available, conversations that they might have had with stakeholders (through focus groups or interviews), strategy documents etc.

The students should be informed that data protection is a very important issue, and any breach can lead to legal problems. This is in particular relevant to any personal information that students may gather as part of their audits. Students should be introduced to the new General Data Protection Regulations (GDPR) that apply across the European Union from 25 May 2018.

During the audits, they must make sure the information is:

- used fairly and lawfully
- used for limited, specifically stated purposes
- used in a way that is adequate, relevant, not excessive and accurate
- kept for no longer than is absolutely necessary
- handled according to people’s data protection rights
- kept safe and secure
- not transferred outside the European Economic Area without adequate protection

It is crucial that students do not share information concerning data to anyone who is not part of the audits. Concerning focus groups, these are usually anonymised, and students should be aware that they should never name persons attending as part of the audit report (unless they have been explicitly informed of this and provided their consent).

Prior to starting the audits, students are be asked to sign a confidentiality agreement, which is included in the [Audit manual](#).

## Conducting an audit

In this section of the Auditor Training Programme, facilitators introduce to students the processes and procedures associated with conducting audits. The next few sections describe in more detail the generic procedures that are required to deliver an audit; a number of these take place before the audit has started. The processes of the audit are summarised below:

Table 4   Audit process	
Stage of the audit	Description
PLANNING: Clarify purpose and goal of the audit	Both audited university (auditee) and auditor(s) need to negotiate and agree upon goals, roles and rules of the audit with the main person accountable at the organisation being audited.
PLANNING: Identify stakeholders	<p>Auditee arranges the logistics for the auditor along with an explanation of what stakeholders and key informants are involved. Identifying relevant stakeholders is important, as they will be able to provide the necessary information/documentation.</p> <p>For the purposes of ESSA the stakeholders are internal contacts who have information needed for the audit.</p>
PLANNING: Definition of indicators	It is important for the auditee to know what they will be audited on through pre-defined indicators. For the ESSA audit, these will be the <a href="#">Benchmark Standards for USR</a> . And

	evidence map tool has been created to help the auditee define the documentary and other evidence which can be used during the audit for each of the Benchmark criteria. This can be found as part of the suite of resources available through in the <a href="#">Audit manual</a> .
ASSESSMENT: Negotiation of the audit (involves conducting the audit visit)	Auditee and auditor(s) establish timelines, determine aims, goals, specify roles, consultative approaches, arrange logistics, and determine outcomes. As part of this, they may renegotiate criteria. For the purpose of the ESSA audit, there will be no renegotiation of criteria.
ASSESSMENT	Having gathered evidence, the auditor consolidates the results and writes up a feedback report. The findings are presented back to the auditee. The auditee does have the opportunity to contest the findings.
REPORTING: Final auditor report	The auditor finalises the report incorporating any feedback from the auditee.
FOLLOW UP: Action plan	The purpose behind conducting an audit is not to find fault with the institution but to assess the performance in terms of social, environmental and community goals of the organisation. The audit findings need to be owned and internalised by the respective departments /organisations. The success of an audit depends on the follow-up action taken based on the recommendations and the receptiveness of the auditee.

As part of the ESSA project, auditor students will be involved in the majority of the stages described above. Prior to the audits, they should have a good knowledge of the USR benchmarks that you will look into when auditing a host university.

Auditor students will be:

- *Planning*: Upon arrival at their audit destination, they will plan who from their audit team will be carrying out the different tasks concerning collecting evidence
- *Assessing*: They will gather and review the evidence – information that was submitted prior to the audit (as documentary evidence), and evidence that they will collect as part of the site visit through site observation, focus group, interviews, supplementary documentary evidence and assess whether it is enough to justify the completion of each criterion.
- *Reporting*: They will feed back their findings to the audited university (a presentation). The university may question some of the findings and may offer extra evidence. They will then present a written feedback report with findings and recommendations.

Auditor students will receive a timetable with some scheduled interviews and focus groups that they will be conducting. In future audits that they may be involved in (not ESSA), they will most likely have to plan these themselves.

## Collecting evidence

The auditor training programme covers methodologies of data collection and what type of evidence auditors students will be looking for. This is one of the key stages of the audit. This is summarised in the sections below. At the end of each section, there is information on the kinds of resources/planning that auditor students will need. In addition, [Facilitator Training Programme](#), section 9, provides specific information and examples of the main data collection methods in audits – focus group, questionnaire and interview.

### Documentary evidence

A large number of criteria tend to refer to policies, publications, reports and other forms of written evidence. As part of the audit, auditors will be asking to view these documents to assess whether they exist and check them for content. Some of these documents may be confidential therefore it will be important to ensure that the data is used for the purposes of the audit only.

It is important to remember that videos, photos and other visual sources of information may also be classed as documentary evidence.

As part of the ESSA project, auditor students have access to documentary evidence submitted by the participating university prior to the audit itself as part of their preparation.

*Resources:* The [Audit manual](#) provides an evidence map that will help both the university being audited and student auditors in collecting and categorising information.

### Site observation

The opportunity to carry out an audit on site (as opposed to desk-based audits) can be very useful. It can help identify how things are done (or not done) in practice, through observation. Site observation can be especially useful when auditors are auditing criteria that relate to infrastructure or facilities. If the audit involves site observation, it is important for the auditee(s) to be aware that auditors will be walking around and provide them with the necessary access (if some areas are restricted).

*Resources:* auditor students will need an audit protocol they develop in the Simulation of the Audit (Unit 5), the template is available in [Audit manual](#) in which they will record their findings – observations and comments in relation to what they saw. They may also want a camera to take photos to include when presenting their feedback to the university.

### Focus group

Conducting focus groups is a relatively unstructured form of data collection that allows small groups to be led through an open discussion focused on particular issues; there are no right or wrong answers. The group needs to be large enough (6-8 participants) to generate rich discussion but not so large that some participants are left out. The moderator's goal is to generate a maximum number of different ideas and opinions from as many different people in the time allotted. This method requires less resources compared to personal interviews. Nevertheless, it is important to come up with themes and questions prior to the focus group that will be used as prompts for the discussion:

When carrying out focus groups it is important to keep the following in mind:

- Reassure participants of confidentiality and reiterate the ground rules at the start of the group
- Use the icebreaker exercise to put participants at ease and develop a dynamic within the group
- Allow the group to diverge from the topic guide if the discussion is creating useful material
- Keep an eye on the time and draw the group back to the specific questions if need be
- Keep questions open and try not to lead participants' responses and never assume you know what they mean. Ask them to expand and clarify what they are saying.
- Include all members of the group in the discussion – drawing out responses from quieter participants and managing discussion from the louder ones

It is often very useful to record a focus group (with consent from respondents), as this means auditors students will not miss any quotes and they will be more engaged in the process of the focus group discussion.

For the ESSA audits, focus group participants will be chosen prior to the audit by the university arranging the audit. When choosing participants it is important to ensure objectivity and widespread views; auditor students may want to ensure that there is a gender balance, variety of ages etc, in addition to characteristics relevant to the focus group. For example, if they carry out focus groups on volunteering, they would want to have a balance of students who get involved in volunteering and those who do not to get a balance of opinion. It is important to remind student auditors to remember to ask for details on the types of participants in the focus groups before they start to enable them to plan their questions accordingly.

## **Individual interviews**

Part of an audit may require speaking to individuals on a one to one basis; they are very useful in finding qualitative remarks. For ESSA audits, a number of interviews will be pre-arranged. This method helps student auditors to have a more detailed understanding, to discuss issues that would be difficult to address in group situations and to reveal the personal perspectives on particular topics. Semi-structured interviews are the most used because they can be conducted with open framework and will help to overcome the limits of the questionnaire technique by letting respondents answer and discuss in ways, which allow them freedom to raise other issues.

The ESSA audit [evidence map](#) gives an indication of what type of evidence auditors might ask for/be looking for during the audits. Auditor students should remember to refer to this when planning their interview questions, as well as looking back at the Benchmark Standards on USR.

Prior to an interview, auditor students should make sure that they have listed what questions they will be asking the interviewees – to use the limited time of the interview efficiently. Auditor students might want to send the interviewees some questions in advance, so that they

can prepare. As with focus groups, auditor students may choose to record the interview (with consent). If the person does not want to be recorded, it is useful to have two people carry out the interview – one person can ask the questions, the other can take notes.

## Resources and support

Any audit requires resources to ensure that it runs smoothly and is not an unnecessary burden for the organisation being audited. This may include staff time, equipment etc. that needs to be prepared by the auditors. For the purposes of the ESSA audit auditors were given (some of this may already have been covered in other parts of this manual):

- Access to documentary evidence submitted collated through the ESSA evidence map
- A presentation template to record their initial findings during the audit week
- An audit report template to present their findings and recommendations to the university being audited

These documents are provided within the [Audit manual](#).

Auditors may also find the following resources useful:

- Dictaphone to record focus groups and interviews
- Tablets/computers to view evidence/record evidence
- Camera to take photographic evidence
- Pen/pencil and paper to record evidence

There is support on site from the audited university to ensure that the audit runs smoothly. Each day student auditors have a chance to re-group and brief, to make sure that everything is running smoothly.

## The audit report

After conducting audit, auditor students collaboratively write an audit report. While conducting the auditor training, facilitators should refer to [Facilitator Training Manual](#), section 8.3 “Audit process and stages”. As mentioned above, in addition, the audit manual provides a template report, which can guide auditor students on what to focus on during the audit and afterwards – what information should be presented in the audit report.

## Unit 3. Benchmarking criteria

### Benchmark Standards for University Social Responsibility across the European Higher Education Area (EHEA)

The Benchmarking Standards are presented in four themes:

<b>Figure 2   Benchmark Standards for University Social Responsibility</b>	
<b>1. Research, Teaching, Support for Learning and Public Engagement</b>	
The institution’s core academic activities are underpinned by the values and principles of social responsibility. In order to ensure this, the institution:	
1.1	Guarantees academic freedom for its staff and students.

1.2	Widens and diversifies access to education within a commitment to lifelong learning.
1.3	Manages student admissions in a transparent and equitable way, using explicit criteria to inform selection decisions, providing formative feedback to unsuccessful candidates.
1.4	Ensures that public funds provided to support teaching and student fees are used for the purpose for which they are provided.
1.5	Requires that its curricula are informed by socially responsible, ethical research and that its graduate attributes incorporate evidence-based thinking and decision-making, active citizenship and employability.
1.6	Adopts a learner-centred approach to teaching and student support, ensuring assessment and feedback is used to promote learning.
1.7	Facilitates collaborative and independent learning that goes beyond the classroom and into the community.
1.8	Enables international collaboration and supports student and staff cross-national mobility.
1.9	Enforces ethical protocols for research, teaching and related activities.
1.10	Facilitates dialogue between the research community, the public and policy makers to link research to 'real world' issues.
1.11	Improves its contribution to society through open access to research outcomes and its public engagement activities.
<b>2. Governance</b>	
The principles of social responsibility are respected throughout institutional policy, strategy, procedures and processes. They permeate all levels, as an integral element of management accountability and stakeholder engagement. The institution:	
2.1	Encourages a culture of social responsibility with high ethical and professional standards and clear protocols to avoid conflict of interest.
2.2	Formally recognises staff and student unions and involves them as partners in governance and decision-making, providing for their representation on the Board (or equivalent) and on its advisory committees.
2.3	Ensures that social responsibility is treated as a core commitment by the Board and senior management and that the institution's social responsibility performance is the focus for annual evaluative reporting.
2.4	Exercises due diligence by assessing the risk and impact of all activities, ensuring compliance with the law, relevant standards and norms.
2.5	Conducts ethical and socially responsible investment and procurement, with comprehensive public reporting of criteria and decisions.
2.6	Is a responsible neighbour, facilitating dialogue and working in partnership with and investing in the local community.
2.7	Recognises its staff and student social responsibility initiatives through an internal reward scheme.
2.8	Actively participates in relevant social responsibility networks.
2.9	Reports on its progress towards clear and independently verified social responsibility and sustainability goals.

2.10	Publishes the outcomes of internal and external reviews, complaints, academic appeals and the source and use of all funding.
<b>3. Environmental and Societal Sustainability</b>	
The institution is committed to environmental sustainability and biodiversity in all aspects of its operations, including in its use of goods, services and works and in its evaluation of decisions. It takes appropriate action to ensure that its commitments are realised and:	
3.1	Ensures its policies and practices minimise any negative impact on the environment caused by its activities or supply chain.
3.2	Promotes sustainable development.
3.3	Delivers a continuous improvement programme that works towards cleaner, sustainable, eco-efficient, resource efficient, zero waste and ethical operations including procurement.
3.4	Publishes regular environmental sustainability reports, incorporating risk and action assessments covering environmental, societal and supply chain risks.
3.5	Encourages the use of environmentally friendly technologies, and of energy efficient, reusable and biodegradable materials.
3.6	Practices socially responsible and sustainable procurement, publishes a code of ethical behaviour for procurement decision-making that includes workers' rights and fair trade principles and promotes social responsibility and sustainability wherever it has influence over the supply chain.
3.7	Ensures respect for and compliance with internationally proclaimed human rights, the rule of law and national and International anticorruption requirements.
3.8	Ensures that all its International activities promote human and societal development and, where possible, help address the issues of poverty, quality of life, advance peace and promote conflict resolution.
<b>4. Fair Practices</b>	
The institution ensures equality and fairness for its staff, students, and others as appropriate and its policies and procedures are intended to avoid discrimination or inequity. The institution:	
4.1	Promotes and celebrates pluralism and diversity, and ensures equality regardless of age, culture, ethnicity, gender or sexuality.
4.2	Practices open, transparent, fair and equitable recruitment and promotion of staff, using affirmative action where appropriate, providing comprehensive staff development that incorporates social responsibility.
4.3	Establishes through negotiation with staff unions comprehensive employee communication, consultation and negotiation protocols and implements these.
4.4	Promotes the health, safety, physical social and mental well-being of staff and students beyond minimum legal requirements.
4.5	Promotes equality of opportunity, guarantees equal, fair and just pay and equitable conditions, and pro-actively works to avoid inequality through flexible working and career development and progression opportunities.
4.6	Ensures that working conditions at least comply with relevant national laws, collective agreements and applicable International Labour Organisation standards and makes every effort to avoid casualization of the workforce.
4.7	Guarantees freedom of association and respects collective bargaining.

4.8	Has transparent, fair and equitable complaints and disciplinary procedures and ensures that complaints and disciplinary matters are addressed swiftly and fairly.
4.9	Publishes the possible sanctions for a proven breach of ethical or related requirements and protects whistle blowers.
4.10	Provides professional support services to meet specific additional needs of students and staff as arising from a disability, for example.
4.11	Communicates with suppliers about its procurement policy and uses research to inform its procurement decisions.

## Unit 4. Main methods in auditing and audits

As audits in general, including audits of university social responsibility, use research data collection methods, it might be useful to distinguish between research and auditing. The aim of research is to collect data that would help develop new knowledge and it could be generalised. Research is usually based on a hypothesis. Auditing aims at collecting information to produce knowledge on the present practices, e.g. within an educational institution, and compares them to certain standards, e.g. Benchmark Standards for University Social Responsibility.

### Quantitative research methods

This type of research methods requires quantifiable data involving numerical and statistical explanations. Quantitative research is used to quantify the problem by way of generating numerical data or data that can be transformed into usable statistics. It is used to quantify attitudes, opinions, behaviours, and other defined variables – and generalise results from a larger sample population. Quantitative research uses measurable data to formulate facts and uncover patterns in research. Quantitative data collection methods include face-to-face interviews, telephone interviews, longitudinal studies, website interceptors, online polls, and systematic observations.

### Qualitative research methods

This type of research methods involves describing in detail a specific situation using research tools like interviews, surveys, and observations. Qualitative research is primarily exploratory research. It is used to gain an understanding of underlying reasons, opinions, and motivations. It provides insights into the problem or helps to develop ideas or hypotheses for potential quantitative research. Qualitative research is also used to uncover trends in thought and opinions, and dive deeper into the problem. Qualitative data collection methods vary using unstructured or semi-structured techniques. Some common methods include focus groups (group discussions), individual interviews, and participation/observations. The sample size is typically small, and respondents are selected to fulfil a given quota (Sanchez, 1998).

The differences between the two research methods are summarised (based on Creswell, 2014) in the table below:

Table 3. Differences between qualitative and quantitative research methods		
	Qualitative	Quantitative

<b>Aim</b>	To explore and understand the meaning individuals or groups ascribe to a social or human problem.	To test theories by examining the relationship among variables. The variables can be measured and the numbered data can be statistically analysed
<b>Focus on</b>	Themes	Numbers and statistics
<b>Research questions</b>	What and Why	Does, What, Why, How Much, How Often.
<b>Hypothesis</b>	Does not have one, tries to explore views.	Has a hypothesis and tries to predict what will happen.

## Data collection

Data collection can be divided into two categories – secondary and primary.

### Secondary data collection

Secondary data is a type of data that has already been published in books, newspapers, magazines, journals, online portals etc. During the auditor training, auditor students collect data from the documents provided by a host university and information available on the official website of the university. Appropriate criteria should be used to select secondary data, e.g. date of publication, the author(s), reliability of the source, etc.

### Primary data collection

Primary data collection methods can be divided into two groups: quantitative and qualitative. Both data collection methods have been presented above. The choice between quantitative or qualitative methods of data collection depends on the area of research, research aims and objectives.

Within the framework of the ESSA audits, auditor students collect and analyse relevant documents as secondary data and carry out interviews, focus group discussions and site observation as the primary data collection.

Next, the main data collection methods used in the audit (document analysis, interviews, focus groups and observation) will be presented in more detail.

## Document analysis

Document analysis is a form of qualitative research in which documents are interpreted by the researcher to give voice and meaning around an assessment topic (Bowen, 2009). Analysing documents incorporates coding content into themes similar to how focus group or interview transcripts are analysed (Bowen, 2009). A rubric can also be used to grade or score a document. O’Leary (2014) offers one way of classifying different types of documents:

- **Public records:** The official, ongoing records of an organisation’s activities. Examples include mission statements, annual reports, policy manuals, student handbooks, strategic plans, and syllabi.

- Personal documents: First-person accounts of an individual's actions, experiences, and beliefs. Examples include calendars, e-mails, scrapbooks, blogs, Facebook posts, duty logs, incident reports, reflections/journals, and newspapers.
- Physical evidence: Physical objects found within the study setting (often called artifacts). Examples include flyers, posters, agendas, handbooks, and training materials.

## Rationale

Document analysis is a social research method and an important research tool in its own right, and is an invaluable part of most schemes of triangulation, the combination of methodologies in the study of the same phenomenon (Bowen, 2009). In order to seek convergence and corroboration, qualitative researchers usually use at least two resources through using different data sources and methods. The purpose of triangulating is to provide a confluence of evidence that breeds credibility (Bowen, 2009). Corroborating findings across data sets can reduce the impact of potential bias by examining information collected through different methods. Also, combining qualitative and quantitative sometimes included in document analysis called mixed-methods studies.

## Process

Before actual document analysis takes place, the researcher must go through a detailed planning process in order to ensure reliable results. O'Leary outlines an 8-step planning process that should take place not just in document analysis, but all textual analysis (2014):

1. Create a list of texts to explore (e.g., population, samples, respondents, participants).
2. Consider how texts will be accessed with attention to linguistic or cultural barriers.
3. Acknowledge and address biases.
4. Develop appropriate skills for research.
5. Consider strategies for ensuring credibility.
6. Know the data one is searching for.
7. Consider ethical issues (e.g., confidential documents).
8. Have a backup plan.

A researcher can use a huge plethora of texts for research, although by far the most common is likely to be the use of written documents (O'Leary, 2014). There is the question of how many documents the researcher should gather. Bowen suggests that a wide array of documents is better, although the question should be more about quality of the document rather than quantity (Bowen, 2009). O'Leary also introduces two major issues to consider when beginning document analysis. The first is the issue of bias, both in the author or creator of the document, and the researcher as well (2014). The researcher must consider the subjectivity of the author and also the personal biases he or she may be bringing to the research. Bowen adds that the researcher must evaluate the original purpose of the document, such as the target audience (2009). He or she should also consider whether the author was a first-hand witness or used second-hand sources. Also important is determining whether the document was solicited, edited, and/or anonymous (Bowen, 2009). O'Leary's second major issue is the "unwitting" evidence, or latent content, of the document. Latent content refers to the style, tone, agenda, facts or opinions that exist in the document. This is a key first step

that the researcher must keep in mind (O’Leary, 2014). Bowen adds that documents should be assessed for their completeness; in other words, how selective or comprehensive their data is (2009). Also of paramount importance when evaluating documents is not to consider the data as “necessarily precise, accurate, or complete recordings of events that have occurred” (Bowen, 2009, p. 33). These issues are summed up in another eight-step process offered by O’Leary (2014):

1. Gather relevant texts.
2. Develop an organisation and management scheme.
3. Make copies of the originals for annotation.
4. Asses authenticity of documents.
5. Explore document’s agenda, biases.
6. Explore background information (e.g., tone, style, purpose).
7. Ask questions about document (e.g., Who produced it? Why? When? Type of data?).
8. Explore content.

Step eight refers to the process of exploring the “witting” evidence, or the actual content of the documents, and O’Leary gives two major techniques for accomplishing this (2014). One is the interview technique. In this case, the researcher treats the document like a respondent or informant that provides the researcher with relevant information (O’Leary, 2014). The researcher “asks” questions then highlights the answer within the text. The other technique is noting occurrences, or content analysis, where the researcher quantifies the use of particular words, phrases and concepts (O’Leary, 2014). Essentially, the researcher determines what is being searched for, then documents and organizes the frequency and number of occurrences within the document. The information is then organized into what is “related to central questions of the research” (Bowen, 2009, p. 32). Bowen notes that some experts object to this kind of analysis, saying that it obscures the interpretive process in the case of interview transcriptions (Bowen, 2009). However, Bowen reminds us that documents include a wide variety of types, and content analysis can be very useful for painting a broad, overall picture (2009). According to Bowen (2009), content analysis, then, is used as a “first-pass document review” (p. 32) that can provide the researcher a means of identifying meaningful and relevant passages.

In addition to content analysis, Bowen also notes thematic analysis, which can be considered a form of pattern recognition with the document’s data (2009). This analysis takes emerging themes and makes them into categories used for further analysis, making it a useful practice for grounded theory. It includes careful, focused reading and re-reading of data, as well as coding and category construction (Bowen, 2009). The emerging codes and themes may also serve to “integrate data gathered by different methods” (Bowen, 2009, p. 32). Bowen sums up the overall concept of document analysis as a process of “evaluating documents in such a way that empirical knowledge is produced and understanding is developed” (2009, p. 33). It is not just a process of lining up a collection of excerpts that convey whatever the researcher desires. The researcher must maintain a high level of objectivity and sensitivity in order for the document analysis results to be credible and valid (Bowen, 2009).

There are many reasons why researchers choose to use document analysis. Firstly, document analysis is an efficient and effective way of gathering data because documents are manageable and practical resources. Documents are commonplace and come in a variety of forms, making them a very accessible and reliable source of data. Obtaining and analysing documents is often far more cost and time efficient than conducting your own research or experiments (Bowen, 2009). Also, documents are stable, “non-reactive” data sources, meaning that they can be read and reviewed multiple times and remain unchanged by the researcher’s influence or research process (Bowen, 2009, p. 31).

Document analysis is often used because of the many different ways it can support and strengthen research. Document analysis can be used in many different fields of research, as either a primary method of data collection or as a compliment to other methods. Documents can provide supplementary research data, making document analysis a useful and beneficial method for most research. Documents can provide background information and broad coverage of data, and are therefore helpful in contextualising one’s research within its subject or field (Bowen, 2009). Documents can also contain data that no longer can be observed, provide details that informants have forgotten, and can track change and development. Document analysis can also point to questions that need to be asked or to situations that need to be observed, making the use of document analysis a way to ensure your research is critical and comprehensive (Bowen, 2009).

### **Key points to remember when analysing documents**

The disadvantages of using document analysis are not so much limitations as they are potential concerns to be aware of before choosing the method or when using it. An initial concern to consider is that documents are not created with data research agendas and therefore require some investigative skills. A document will not perfectly provide all of the necessary information required to answer your research questions. Some documents may only provide a small amount of useful data or sometimes none at all. Other documents may be incomplete, or their data may be inaccurate or inconsistent. Sometimes there are gaps or sparseness of documents, leading to more searching or reliance on additional documents than planned (Bowen, 2009). Also, some documents may not be available or easily accessible. For these reasons, it is important to evaluate the quality of your documents and to be prepared to encounter some challenges or gaps when employing document analysis.

Another concern to be aware of before beginning document analysis, is the potential presence of biases, both in a document and from the researcher. Both Bowen and O’Leary state that it is important to thoroughly evaluate and investigate the subjectivity of documents and your understanding of their data in order to preserve the credibility of your research (2009; 2014).

The reason that the issues surrounding document analysis are concerns and not disadvantages is that they can be easily avoided by having a clear process that incorporates evaluative steps and measures, as previously mentioned and exemplified by O’Leary’s two eight-step processes. As long as a researcher begins document analysis knowing what the method entails and has a clear process planned, the advantages of document analysis are likely to far outweigh the amount of issues that may arise.

## References

- Bowen, G. A. (2009). *Document analysis as a qualitative research method*. *Qualitative Research Journal*, 9(2), 27-40. doi:10.3316/QRJ0902027
- O'Leary, Z. (2014). *The essential guide to doing your research project (2nd ed.)*. Thousand Oaks, CA: SAGE Publications, Inc.

## Interviews

In-depth interviews can be defined as a qualitative research technique which involves "conducting intensive individual interviews with a small number of respondents to explore their perspectives on a particular idea, program or situation" (Boyce and Neale, 2006, p.3).

There are three different formats of interviews: structured, semi-structured and unstructured (Boyce and Neale, 2006).

Structured interviews consist of a series of pre-determined questions that all interviewees answer in the same order. Data analysis in structured interviews usually tends to be more straightforward compared to other forms of interviews, because a researcher can compare and contrast different answers given to the same questions (Boyce and Neale, 2006).

Unstructured interviews are usually the least reliable form of interviews from a research viewpoint, because no questions are prepared prior to the interview and the interview is conducted in an informal manner. Unstructured interviews can be associated with a high level of bias and comparison of answers given by different respondents tends to be difficult due to the differences in formulation of questions (Boyce and Neale, 2006).

Semi-structured interviews contain components of both, structured and unstructured interviews. In semi-structured interviews the interviewer prepares a set of same questions to be answered by all interviewees, however, additional questions might be asked during interviews to clarify and/or further expand certain issues (Boyce and Neale, 2006).

Advantages of interviews include possibilities of collecting detailed information about research questions. Moreover, in interviews researcher has direct control over the flow of primary data collection process and have a chance to clarify certain issues during the process if in need arises. Disadvantages of interviews include longer time requirements compared to some of primary data collection methods and difficulties associated with arranging an appropriate time with perspective sample group members to conduct interviews (Boyce and Neale, 2006).

When conducting interviews, interviewers should have an open mind and avoid displaying disagreements in any forms when viewpoints expressed by interviewees contradict their own ideas.

Respected scholars warn that "in conducting an interview the interviewer should attempt to create a friendly non-threatening atmosphere. Much as one does with a cover letter, the interviewer should give a brief, casual introduction to the study; stress the importance of the person's participation; and assure anonymity, or at least confidentiality, when possible" (Connaway and Powell, 2010, p.170). Moreover, Engel and Schutt (2009) warn about possible

interviewee bias during the primary data collection process and argue that interviewee bias would seriously compromise the validity of the project findings. Other scholars, on the other hand, recommend that “some interviewer bias can be avoided by ensuring that the interviewer does not overreact to responses of the interviewee. Other steps that can be taken to help avoid or reduce interviewer bias include having the interviewer dress inconspicuously and appropriately for the environment, holding the interview in a private setting, and keeping the interview as informal as possible” (Connaway and Powell, 2010, p.172).

### **Interviewing tips for auditor students:**

- Before interviews (or focus group discussions) auditors prepare very brief introductions about themselves and the ESSA project;
- At the beginning of interviews (or focus group discussions) auditors ask for interviewee’s permission to record the interview, if they decide to record it;
- Plan how many questions might be asked during the interview time;

Interview question techniques that auditor students could apply preparing for interviews are presented in [Guide for Visiting Students](#), examples of possible interview questions are presented in [Facilitator Training Manual](#).

### **References**

Boyce, C & Neale, P, (2006). *Conducting in-depth Interviews: A Guide for Designing and Conducting In-Depth Interviews*. Pathfinder International Tool Series.  
 Connaway, L.S. & Powell, R.P. (2010). *Basic Research Methods for Librarians*, ABC-CLIO  
 Cohen, L., Manion, L. & Morisson, K. (2007). *Research methods in education*. London: Routledge.

### **Focus groups**

Focus group could be defined as a group discussion, or interview led by a moderator, who encourages group discussion (Birmingham & Wilkinson, 2003).

The focus group size may be 6-8 persons. There are different aspects of focus group discussion, the aspect emphasising the discussion of a dominant topic by group participants was the most suitable for the project purposes.

### **Preparation for a focus group**

Preparation starts with selecting a moderator and one or two assistants. The moderator and assistants make a list of questions, which are necessary to find answers to their enquiry on a selected topic. Questions about *Why? What? How?* are formulated.

Next, the moderator plans the whole flow of the group discussion: welcoming of the focus group participants, introduction of the discussion plan, aim, ground rules, introduction, questions and answers, and ending of the session.

The discussion session includes the following steps (Birmingham & Wilkinson, 2003):

1. Greetings, introductions by the moderator and the assistants, focus group participants introduce themselves.

2. The moderator thanks participants for agreeing to take part in the discussion, announces about the duration of discussion, and its aims.
3. The moderator explains the roles of participants and expectations. The moderator stresses that s/he and assistants will be facilitating the discussion and they do not express their opinions.
4. If auditor students wish to record the session, they have to ask for the consent of the focus group discussion participants.
5. The main part of the session starts with the presentation of the main research question and auditor students ask the participants to briefly express their opinion and justify it. Next, a discussion of research questions begins. The moderator asks, specifies, asks additionally, and asks to give more details or to explain. The role of moderator is not just to ask questions, but to ask probing questions: *How so? Why not? Please explain in more detail. What did you do? What did you use? Why did not you do something?* etc.
6. At the end of the session, the moderator summarises the opinions expressed and asks if there are anything else to add. Finally, the moderator thanks the participants for their time, emphasises how important their opinions are for research and closes the meeting (Birmingham & Wilkinson, 2003).

[The Facilitator Training Manual](#) and [Guide for Visiting Student Auditors](#) also provide information on focus groups.

## References

- Birmingham, P., & Wilkinson, D. (2003). *Using research instruments: A guide for researchers*. Routledge.
- Creswell, J.W. (2009). *Research Design: Qualitative, Quantitative, and Mixed Methods Approaches*. London: Sage.

## Observation

Observation is one of the oldest data collection methods applied in social sciences. It is useful when collecting data for research about human behaviour and organisations. This method allows researchers to collect primary data, and it is sometimes more practical to observe directly rather than to ask people about what took place (Cohen et al 2007). Through observation researchers get a variety of information that is not mentioned by respondents, and it allows to make a full picture about the research problem.

Within the framework of ESSA project auditor students use site observation, i.e. they visit the host university campus and make observations about the benchmarks of university social responsibility that they could identify and document. More information on how site observation might be carried out is provided in the [Facilitator Training Manual](#).

## Resources

- Cohen, L., Manion, L. & Morisson, K. (2007). *Research methods in education*. London: Routledge.

## Qualitative data analysis

Analysis of qualitative data, collected by the methods described previously, can be conducted through the following three steps (source: *research-methodology.net*):

### Step 1: Developing and applying codes

Coding can be explained as categorisation of data. A 'code' can be a word or a short phrase that represents a theme or an idea. All codes need to be assigned meaningful titles. A wide range of non-quantifiable elements such as events, behaviours, activities, meanings etc. can be coded.

The following table contains examples of research titles, elements to be coded and identification of relevant codes:

Figure 3   Example research titles		
Research title	Elements to be coded	Codes
Born or bred: revising The Great Man theory of leadership in the 21 <sup>st</sup> century	Leadership practice	Born leaders Made leaders Leadership effectiveness
A study into advantages and disadvantages of various entry strategies to Chinese market	Market entry strategies	Wholly-owned subsidiaries Joint-ventures Franchising Exporting Licensing
Impacts of CSR programs and initiative on brand image: a case study of Coca-Cola Company UK.	Activities, phenomenon	Philanthropy Supporting charitable courses Ethical behavior Brand awareness Brand value
An investigation into the ways of customer relationship management in mobile marketing environment	Tactics	Viral messages Customer retention Popularity of social networking sites

Source: *research-methodology.net*

### Step 2: Identifying themes, patterns and relationships

Unlike quantitative methods, in qualitative data analysis there are no universally applicable techniques that can be applied to generate specific findings. Analytical and critical thinking skills are very important. Nevertheless, there are techniques that can be used to identify common themes, patterns and relationships within responses of sample group members in relation to codes that have been specified in the previous stage. Specifically, the most popular and effective methods of qualitative data interpretation include the following:

- Word and phrase repetitions – scanning primary data for words and phrases most commonly used by respondents, as well as, words and phrases used with unusual emotions
- Primary and secondary data comparisons – comparing the findings of interview/focus group/observation/any other qualitative data collection method with the findings of literature review and discussing differences between them
- Search for missing information – discussions about which aspects of the issue was not mentioned by respondents, although you expected them to be mentioned
- Metaphors and analogues – comparing primary research findings to phenomena from a different area and discussing similarities and differences

### Step 3: Summarising the data

At the last stage of qualitative analysis, researchers need to link research findings to hypotheses or research aims and objectives. When writing the data analysis part of a report, e noteworthy quotations from the transcript could be used to highlight major themes within findings and possible contradictions.

### References

<https://research-methodology.net/research-methods/data-analysis/qualitative-data-analysis/>  
 Accessed 4 July 2019

## Unit 5. Simulation of audits

Simulation is the imitation of a real-world process or system over time. The act of simulating something first requires that a model is developed; this model represents the key characteristics, behaviors and functions of the selected physical or abstract system or process. The model represents the system itself, whereas the simulation represents the operation of the system over time.

As Gray & Rumpe (2016) maintain, simulation is used in many contexts, such as simulation of technology for performance optimisation, safety engineering, testing, training, education, and video games. Often, computer experiments are used to study simulation models. Simulation is also used with scientific modelling of natural systems or human systems to gain insight into their functioning, as in economics. Simulation can be used to show the eventual real effects of alternative conditions and courses of action. Simulation is also used when the real system cannot be engaged, because it may not be accessible, or it may be dangerous or unacceptable to engage, or it is being designed but not yet built, or it may simply not exist.

Simulation of audits used in ESSA project is recommended to allow auditor students involved in the process of active learning an opportunity to model the main parts of an audit before the actual audit at a university. Students are able to test themselves the situations of interviews and focus group discussions by preparing interview and focus group discussions questions and carrying out those activities, as well as completing site observation of their own university. This unit involves students in learning-by-doing activities rather than learning about theoretical aspects of simulations.

## References

Gray, J. & Rumpe, B. *Models in simulation*, Software & Systems Modelling (2016). 15: 605.  
<https://doi.org/10.1007/s10270-016-0544-y>

## Case studies

Case study can be defined as an empirical enquiry investigating a certain phenomenon within its real-life context. The feature of a case study is that it researches one separate object, e.g. social responsibility at a university.

According to its design, case study research method can be divided into three categories: explanatory, descriptive and exploratory.

- Explanatory case studies aim to answer 'how' or 'why' questions with little control on behalf of researcher over occurrence of events
- Descriptive case studies aim to analyze the sequence of interpersonal events after a certain amount of time has passed.
- Exploratory case study data collection method is often accompanied by additional data collection method(s) such as interviews, questionnaires, experiments etc.

## References

<https://research-methodology.net/research-methods/qualitative-research/case-studies>.

Accessed 4 July 2019

<https://phd-research-methodology.blogspot.com/2015/10/the-case-study-research-method-dan.html>. Accessed 4 July 2019

## SWOT analysis

SWOT analysis (Strengths, Weaknesses, Opportunities and Threats) is used in student auditor training as a tool to assess the USR auditing process. Through completing the analysis, students are asked to predict the risks and difficulties, and to rethink what could be improved.

SWOT analysis can be explained as:

- Strengths are factors that are likely to have a positive effect on the object of analysis;
- Weaknesses are factors that are likely to have a negative effect on on the object of analysis;
- Opportunities are external factors that are likely to have a positive effect on achieving or exceeding the objectives envisaged;
- Threats are external factors and conditions that are likely to have a negative effect on achieving the objectives envisaged.

## References

<https://rapidbi.com/swot-analysis-for-schools-and-education/>. Accessed 4 July 2019

## Unit 6. Reporting

### Introduction to report writing

A report is an organised summary of information; it clearly and accurately relates the decisions, actions, or conclusions involved in an event, an activity, or an investigation, but does not include every fact and detail. A report is a piece of informative writing that describes a set of actions and analyses any results in response to a specific brief.

After conducting the audit at a host university, auditor students collaboratively write the audit report. The [Audit manual](#) presents a template for student auditors in which to write their audit report. It provides the structure and comments what has to be included and length of each part. The template gives the structure of the report is as follows:

Acknowledgements

Table of contents

Glossary

Introduction (2 pages maximum)

- Overview, context and partners of ESSA project
- Overview of methods (Interviews, Focus groups, Documentary evidence, Surveying students)

Results (2 pages for each Benchmark Standard theme)

- General overview of performance against USR standards
- Findings
- Areas of strength / areas for improvement
- Recommendations

Conclusions (1 – 4 pages maximum)

- General observations (findings)
- Experience of audit week
- Comments on USR benchmark standards

Bibliography

Annexes – they provide an opportunity to present any more detailed information that auditor students have referred to in the report, e.g. a breakdown of USR benchmark standards by criteria:

- Research, teaching, support for learning and public engagement
- Governance
- Environmental and societal sustainability
- Fair practices

### A brief overview of report types

There are many kinds of reports (Meyers, 2005): formal reports (called minutes) on discussions and votes taken in meetings; reports on the main ideas of a lecture or presentation; reports on the results of an experiment or research; technical reports that can be unclassified (they are generally available and published by funding organisations, academic institutions, and government departments) and classified (that are of restricted availability and

are used within an organisation to describe military or commercial developments). Each kind follows its own particular format, but they do have some things in common.

A report typically begins with a statement of its purpose, its central idea or conclusions. Then the report presents the supporting information, usually in chronological order or in categories. However, the supporting information includes only the main ideas or actions, omitting many of the explanations, details, or examples found in other kinds of writing.

Many reports are entirely objective: they do not include any opinions of the writer. But some reports also make recommendations based on the information they present. Report writing is different from essay writing. Meyers (2005) presents a way to understand the key features of reports by contrasting to essays as a type of academic writing. Figure 4 presents differences between reports and essays.

Figure 4   Differences between reports and essays Reports (are)...	Essays (are)...
<ul style="list-style-type: none"> <li>• Formally structured</li> <li>• Informative and fact-based</li> <li>• Written with a specific purpose and reader in mind</li> <li>• Written in style appropriate to each section;</li> <li>• Always include section headings</li> <li>• Sometimes use bullet points</li> <li>• Often include tables or graphs;</li> <li>• Offer recommendations for action</li> <li>• Present information</li> </ul>	<ul style="list-style-type: none"> <li>• Semi-structured</li> <li>• Discursive and idea-based</li> <li>• Not written with a specific reader in mind</li> <li>• Written in single narrative style throughout</li> <li>• Usually do not include sub-headings</li> <li>• Usually do not include bullet points</li> <li>• Rarely include tables or graphs</li> <li>• Offer conclusions about an issue</li> <li>• Present an argument</li> <li>• Meant to be read carefully</li> </ul>

A key feature of reports is that they are formally structured in sections. Unlike an essay which is written in a single narrative style from start to finish, each section has its own purpose and will need to be written in a style to suit. Understanding the function of each section help students to structure their information and use the correct writing style.

Below a few tasks for students about the understanding and analysis of reports are suggested:

**Task: Check your comprehension by answering the questions below:**

1. When do people need/have to write reports?
2. Give a definition of the term "report".
3. What is omitted in a report?
4. What are the types of reports?
5. What is the difference between classified and unclassified reports?
6. Indicate the main features of a report.
7. How do reports differ from essays?
8. Have you ever written a report?

**Task: An example of a report "budgetary challenges"**

Read the informational report (Figure 5) appearing in a newsletter addressed to the residents of a small suburban city. As you read, find out:

1. What is the report about?
2. How does the writer summarise facts?
3. Does the report offer any opinions or interpretations?
4. How many parts are there in the report?
5. Are there any conclusions presented?
6. Identify the main parts of the report (topic sentence, body, ending).

### Figure 5 | Budget Challenges task

1. The City Council has taken a number of steps in attempt to solve the city's \$2 million budget deficit. On July 1, the Council held a public meeting to hear a variety of suggestions from residents. A number of residents offered opinions on possible cuts in services identified in the survey conducted the previous month. However, many residents objected to any cuts in services. Instead, the residents suggested ways that the city could increase revenue. Those suggestions included raising the sales tax from 8.5 percent to 8.75 percent or creating new taxes, such as a tax on hotel rooms.

2. Following the open meeting, the City Council discussed the issues at its Financial Review Meeting on July 31. Members of the Council explored ways to save money by cutting or reducing services. Among the possibilities were a cutback in garbage collection from three times a week to twice a week and a reduction in the number of days scheduled for picking up the leaves during the autumn. After a debate, the Council agreed not to make any immediate changes in services at this time and to explore the effects of new taxes suggested by the residents at the July 12 meeting. One member of the Council estimated that an increase in the sales tax would result in an additional \$1.5 million in revenue. However, residents would have to vote on this increase in a general election, which could not be scheduled until November 1.

3. The Council instructed members of its staff to investigate the possible results of any cuts in services, tax increases, or new taxes and to report its findings to the Council at the August 5 meeting. No further actions will be taken until then.

*(Source: Meyers, A., (2005) Gateways to Academic Writing: Effective Sentences, Paragraphs, and Essays.)*

## The process of writing a report

Explaining to students about the process of report writing, facilitators may employ the following logic.

- After auditor students select the information they gathered during the audit, students organise their material and analyse it.
- They need to decide what points they can make from the information they collected, they need to consider what conclusions might be made from it, etc.
- In the findings chapter of the report students present the main idea, then explain and expand it; present evidence to support their point and comment on each piece of evidence to show how it relates to the point made.

- Finally, the chapter ends by showing its significance to the report, or by making a link to the next chapter.
- When the results section is written, it is usually easier to write the introduction.

Academic writing (a report) features:

*Accuracy* of facts used in the report;

*Objectivity* – conclusions drawn based on facts, not on personal opinion;

*Clarity and consistency* - time allocated to edit and proofread;

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## Presentation making techniques and skills

While preparing for a presentation, students can be referred to key questions known as the “5 Ws”:

Figure 6   The 5 Ws for preparing of a presentation	
<b>What?</b>	What is my presentation about? What are the audience objectives? What should the audience do or think after the presentation?
<b>Why?</b>	Why am I making the report? Why am I making it to this audience? Why should they be interested?
<b>Who?</b>	Who are you talking to? Who is involved in this activity/action/decision? Who will benefit from this activity/action/decision?
<b>When?</b>	When will the presentation begin/end?
<b>Where?</b>	Where will the presentation take place?

## Presentation structure and delivery

Like a report, the presentation will have a similar structure: *Introduction*, *Body* (presentation of results) and *Conclusion*.

- *Introduction* informs the audience about the aim of the presentation and may be used to catch the attention of the audience to motivate it to listen.
- *Body* presents the main points of the presentation. The main points have to be supported by facts / evidence / examples. To present the audit results, categorical design may be used, where each benchmark standard is presented as a category.
- *Conclusion (or/and recommendations)* summarises what has been said, or what action may be recommended.

Facilitators can also refer students to common tips for presenters:

- Not to read from the slides
- To avoid too much text on the slides
- To keep eye contact with the audience
- To know the material
- To rehearse the presentation

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