Audit manual

A guidance document for institutions preparing for a social responsibility audit

ESSA
PROJECT

Audit manual

Authors:
Rachel Drayson
Joanna Romanowicz

Reviewers:
Marcia Coelho
Audrone Dubariene
Peter Evans
David Gray
Matthew Lawson
Isabel Menezes
Brian Martin
Ana Rodrigues
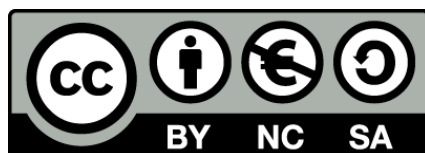Ines Salgado

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Introduction to the ESSA project

Introducing the ESSA project

The European Student, Sustainability Auditing[1] (ESSA) project is a reponse to the developing commitment of higher education institutions and the growing interest of students in University Social Responsibility. The project received funding from the European Commission's Erasmus+ programme 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.

Project partners

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

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[1] The ESSA Project can also be found on social media at: https://www.facebook.com/essaproject/ and via the hashtag #essa_usr

- 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 this manual

The purpose of this document is to provide detailed guidance for any Higher Education Institution wishing to adopt and implement the audit approach developed and validated through this project.   This manual gives an overview of the audits arranged as part of the European Students Sustainability Auditing (ESSA) project from a logistical perspective and provides guidance and resources to enable the planning and delivery of a successful social responsibility audit. At the same time, it provides a theoretical background to auditing in general.

This manual is aimed at university staff who either plan to get involved in or have decided to deliver an audit through the ESSA Project.

A significant aspect of the project is training students to become auditors to support them to gain new skills and knowledge, enabling them to confidently carry out an audit of the social responsibility performance of another European university. During the funded project, no student auditor audited their own university, however the audit process described in this guidance document could be appropriate for a number of different arrangements, for example student auditors delivering audits on a faculty, department or school basis.

This document outlines the complete audit process, from student auditor recruitment, to delivering the audit week, and providing auditor training to assessment options. The following resources sit alongside this manual:
- Guide for visiting students – template
- Guide for host students – template
- Evidence map – template
- ESSA audit presentation – template
- ESSA audit feedback report – template

This manual should be read in conjunction with:
- Facilitator training manual
- Auditor training manual
- Assessment manual

ESSA audits – an overview

In the ESSA project, audits are conducted by trained student auditors according to the Benchmark Standards for University Social Responsibility across the European Higher Education Area

ESSA audits – an overview

Why audit?

An audit is an official examination and/or verification of specific information/accounts/facilities. In most cases this is completed with reference to a pre-defined set of criteria. In the ESSA project, the criteria being audited are the Benchmark Standards for University Social Responsibility across the European Higher Education Area. Figure 1 below provides an outline of the four thematic areas covered by the Benchmark Standards. The full standards can be found online here.

Figure 1 | Benchmark Standards for University Social Responsibility across the European Higher Education Area	
Theme	*Summary*
Research, teaching, support for learning and public procurement	The institution's core academic activities are underpinned by the values and principles of social responsibility.
Governance	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.
Environmental and societal sustainability	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.
Fair practices	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 focus of an audit is not necessarily to find fault; it is to establish where an organisation is at, and to provide critical feedback, to enable them to improve their performance. ESSA project audits are designed to be carried out with this ethos.

Audits can be extremely beneficial to organisations. Within the ESSA project, they aim to deliver 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 audit experience will give students, who are taking on the role of an auditor, the opportunity to gain practical experience and insight into real-life situations, whilst receiving formal recognition for their work.

The next sections describe in more detail the procedures associated with auditing including those which take place before the audit has started. These are summarised below.

Stage	Description
PLANNING: Clarify purpose and goal of the audit	Both 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. In the context of the ESSA project, the student auditors have not been involved in the negotiations. As the purpose of the audit is pre-defined, university staff have negotiated any local specifics internally prior to the audit.
PLANNING: Identify stakeholders	Auditee arranges the logistics for the student auditors along with an explanation of what stakeholders and key informants are involved. Identifying relevant stakeholders is important as they are key to providing the necessary information/documentation. For the purposes of ESSA, the stakeholders are likely to include university staff who fulfil a range of roles across the institution, students, students' association representatives and local business or third sector stakeholders
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 audits, these are the Benchmark Standards for University Social Responsibility.
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 is no renegotiation of criteria however.
ASSESSMENT	Having gathered evidence, the auditor consolidates the results and writes up an audit report. The results are fed back to the auditee. The auditee has the opportunity to review the results and request amendments and clarifications.
REPORTING: Renegotiation	The discussion may lead to renegotiation because the auditor presents findings and from this conversation might result an adjustment of the audit report, or a modification of the agreement.
REPORTING: Final auditor report	The auditor finalises the report incorporating any feedback from the auditee.
FOLLOW UP: action plan	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 on based on the recommendations and the receptiveness of the auditee.

Audits during the funded project

As part of the Erasmus+ funded ESSA project, four in-depth audits have been carried out. Three audits were completed at the institutions who were project partners:

- University of Edinburgh (UK)
- University of Porto (Portugal)
- Kaunas University of Technology (Lithuania)

A fourth audit was completed at another university within the European Higher Education Area to enable the testing of the approach within a non-project partner context, whilst at the same time enabling the institution involved to receive the benefits associated with participation. The university that participated in this context was King's College London.

Through the ESSA project, sixty students completed the audit process with funding provided through Erasmus+ for students to travel to audit an institution other than their own. The audit teams were made up of between 12-14 students, supported in each instance by a team of host students. For the remainder of this manual, two types of auditor are discussed:

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

Students studying at the partner institutions completed both roles during the course of the funded project period.

Audits beyond the funded period

As mentioned earlier, there is potential for universities to adopt the ESSA Project process in different contexts to the international exchange of student auditors that was delivered during the Erasmus+ funded period. It is also possible that universities may co-ordinate with other institutions in their networks to co-ordinate an exchange for their students to deliver the audit at another university (for example nationally, or within a city where multiple universities are based). Similarly, it is also possible to use the resources and process developed internally within universities, for example students auditing a faculty other than their own. The resources that sit alongside this manual that are designed to facilitate the arrangement of the audit are fully editable and can be adjusted for the individual circumstances in which each audit is taking place. However, it is suggested that adaptations are kept to a minimum, and that the processes that have been tried and tested during the funded period are adhered to as far as possible.

Preparing for the ESSA audits

An audit process requires strong organisational and operational skills. This chapter details the preparation required at a university undergoing the ESSA audit process.

Preparing for the ESSA audits

An audit process requires strong organisational and operational skills. Preparation for the audit process involves three main aspects– from both auditee and auditor perspective:

- Preparation of evidence
- Selection of auditors
- Audit preparation by the auditors

The starting point is generally setting the date for the audit. Once this has been confirmed, timescales for preparing various aspects leading up to the audit can be developed. During the funded project, each audit was delivered over the course of 5 full days.

Preparation at the host university

Prior to the audit taking place, it is important to ensure that the staff at the university are well prepared. These responsibilities include:

- Gathering and preparing appropriate evidence
- Ensuring relevant individuals and stakeholders have been engaged in the audit process, and securing commitment to participate in audit activities (e.g. interviews, focus groups, feedback presentation)
- Completing associated administrative tasks e.g. booking rooms and facilities for auditors and audit interviews/focus groups, ensuring any auditor accessibility or dietary requirements have been accommodated
- Arranging pastoral support for visiting students (where appropriate to the audit arrangements)
- Ensuring host students have been recruited, trained and supported to deliver their roles during the audit.

During the Erasmus+ funded project, these responsibilities were completed in collaboration with the students' association/union from each institution. It is recommended that institutions opting to deliver and ESSA audit consider how best to collaborate with the students' association/union at their institution.

The timetable below gives a rough indication of preparing for an ESSA audit delivered in the spring term of the academic year:

Figure 3	Example audit preparation timeline	
Action/activity	*Date*
• Identify date for audit week • Let relevant staff within the organisation know that the audit is taking place and what it and the project in general is about (e.g. via direct emails, information on website)	Mid-November

• Appoint staff member(s) to map out, gather and record relevant documentary evidence. • Begin the process of gathering and recording documentary evidence. • Identify staff and students who will be involved in the audit activities (e.g. for interviews, focus groups etc) • Begin recruitment of host student auditors (if there are no students within the institution who have completed an audit elsewhere)	December
• Develop draft audit week schedule • Confirm dates of staff and student involvement in the audit activities (e.g. for interviews, focus groups etc) • Book rooms for audit activities (e.g. interviews and focus groups, a room to act as a base for student auditors during audit week) • Finalise recruitment of host student auditors (if applicable)	January/February
• Identify who will be assisting/facilitating visiting student auditors during the audit week • Finalise audit schedule/timetable • Deliver training to host student auditors, and support preparation of host student activities (e.g. co-ordination of social activities with visiting student auditors)	February
• Submit evidence to student auditors (at least 2 weeks prior to the audit week) • Support finalisation of host student activities (e.g. co-ordination of social activities with visiting student auditors)	March
Audit takes place	March / April

The timetable can be amended – the preparation process can be adapted, depending on the participating institution and its capacity.

In the case of ESSA, the university being audited is expected to proactively liaise with relevant contacts to ensure that they have been informed of the audit, and that they are available; student auditors undertaking the audits will not be responsible for arranging this. During the funded audits, the following steps were found to be useful to engage internal stakeholders in the audit process:
- Announcing the forthcoming audit through internal newsletters etc.
- Circulating a briefing pack about the project to potential candidates for interview during the audit
- Identifying internal 'sponsor(s)' for the project whose involvement is likely to secure attention and commitment

As well as internal stakeholders, it is useful to engage external stakeholders in the audit process if the relationship held contributes towards the USR Benchmark Standards criteria.

Resource guidance

To help readers plan for the audit, a case study of the resource requirements is outlined below based on the experiences of the University of Edinburgh and Edinburgh University Students' Association in preparing for their audit during April 2017.

Figure 4	Example resource requirements for preparation of an ESSA audit – University of Edinburgh				
Action/activity	Date started	Date completed	Staff involved	Staff time (hours)
Let relevant staff within the organisation know that the project is taking place and what it is about. Could be via direct emails, information on website	Mid-November 2016	April 2017	4 staff	6 days (1 day per month)
Appoint member of staff to collate and map evidence against the Benchmark Standards	January 2017	February 2017	1 staff	5 days
Identify staff who will be involved in the audit process and set dates in the diary (for interviews etc)	January/February 2017	March 2017	2 staff	3 days
Identify who will be assisting/facilitating students as part of the audit process	February 2017	March 2017	2 staff	1 day
Prepare audit schedule/timetable	February 2017	March 2017	4 staff	2 days
Book rooms for students to use	March 2017	March 2017	1 staff	1 day
Evidence) submitted	March 2017	March 2017	1 staff	2 day
Audits take place	April 2017	April 2017	3 staff	5 days

ESSA student auditors

Students are key to the audit process in the ESSA project, functioning as the auditors of the university against the Benchmark Standards for University Social Responsibility.

ESSA student auditors

Students are key to the audit process in the ESSA project, functioning as the auditors of the university against the Benchmark Standards for University Social Responsibility. As outlined earlier in this manual, there are two distinct roles for student auditors:

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

Visiting student auditors

Visiting student auditors are recruited to complete the auditor training programme, after which they will carry out the ESSA audit. Given that the auditor training programme is expected to last approximately 40 hours, followed by 5 days of mobility to conduct the audit, followed by delivery of the audit report in addition to the completion of the assessment, a high level of engagement should be expected from students, to ensure commitment to the full project process. **This should be clearly communicated the students through the recruitment process.**

For the purposes of inclusivity and to reach a wide range of students, the opportunity should be promoted through a range of channels, for example:

- Students' union/association mailing list or social media
- Current volunteers (e.g. working on sustainability or other programmes)
- Institution newsletter/tv screens/notice boards
- All student emails
- Academic mailing lists

Auditor role description

A role description has been put together for students undertaking the role of a visiting student auditor. The role description includes person specification, skills gained, and commitment required from participating students.

Figure 5 | Auditor role description
Person specification
The ideal candidate will possess the following skills and knowledge: • Good communication skills, both verbal and written, and confidence in face-to-face engagement. • For international students whose first language is not English, students will have attained the CEFR (Common European Framework of References to Language) English qualification at least level C1 • Confidence to work independently and in a team and able to assist fellow student auditors to identify creative solutions to problems.

- Good analytical and research skills
- Excellent time management and leadership skills
- Some knowledge of the workings of universities and of social responsibility and sustainability issues and initiatives.

Commitment required

- Student auditors will be required to complete the auditor training - a mixture of online learning and face-to-face facilitated workshops. The training will take a total of approximately 30-40 hours.
- All visiting student auditors will be provided with the opportunity to travel to another institution to audit social responsibility and sustainability performance and to complete the requirements for the award of the Certificate in Social Responsibility Auditing (EQF Level 6, 5 credits, SQF Level 9-10 equivalent).

Skills and experience gained

Successful students applying for the student auditor role will gain experience of developing and enhancing the following skills and experiences:

- Experience of working on an international project in a supported professional environment
- Insight into effective social responsibility and sustainability education
- Experience of communicating using a variety of different means
- Knowledge and understanding of the auditing process
- Ability to make evidence-based judgements
- Experience in advanced level reporting
- Ability to support and encourage others to perform
- Leadership skills
- Time Management
- Team development
- Project management
- Experience of working in a multicultural team

Further examples of auditor recruitment materials, including information leaflets and selection interview guides can be found in the annexes of this manual.

Host student auditors

In the case of institutions who were project partners under the Erasmus+ funding, separate recruitment of host student auditors was not necessary, with students who completed the role of visiting student auditors, or who were due to complete this role in the future, fulfilling the role of host as well. For institutions who opt to deliver an ESSA audit outside of the funding, host students may need to be separately recruited. In this instance, it is possible to deliver the auditor training programme for host students to ensure they have a full understanding of the auditing in general, the ESSA audit process, as well the opportunity to develop skills in this

area. If the host students do not go on to deliver an audit in full (either as a visiting student auditor in another institution to their own, or within their own institution if a university opts to deliver a self-audit) they will not be eligible to complete the Certificate in Social Responsibility Auditing and receive the associated ECTS credits. It is however possible for the host institution to issue other forms of recognition for the host students' contribution to and participation in the audit.

It is also possible for the host students to play a role in the audit preparation, and follow-up as well as supporting activities during the audit week. Examples include:
- Assisting staff to collate documentary evidence within the evidence mapping tool
- Organising social activities for visiting student auditors during the audit week
- Aiding with student recruitment for focus groups and / or interviews during the audit week
- Assisting visiting students with locating venues for audit research interviews / focus groups
- Participating in review of the audit report
- Presenting audit findings on behalf of visiting students at relevant university boards and committees

Auditor training programme
The auditor training programme is delivered in blended mode, contributing to the expected 100 hours of participation envisaged for students to complete the whole ESSA Project process (training, audit delivery and assessment). It is expected that the in-person training will be delivered over approximately 30 hours and can be delivered either as an intensive week of training or in a series of individual training days depending on student auditor availability.

The face-to-face training consists of 6 units covering the following concepts:
- Introduction to the ESSA Project and overview of university social responsibility
- Understanding the essence of audits and auditing, and concepts associated with good practice
- Understanding the essence of benchmarking and the Benchmark Standards for University Social Responsibility
- Developing knowledge and experience of the research methods used in auditing
- Simulating an audit
- Audit reporting and presentation techniques

This in-person training is expected to be supported by approximately 10 hours of preliminary reading.

Assigning auditors to themes

It is also recommended, based on direct feedback from students participating in audits, that visiting student auditors either choose or are allocated one of the four themes of the Benchmark Standards to concentrate on during the audit week prior to delivery of the audit. Activities delivered through the auditor training programme can also be targeted at the appropriate Benchmark Standard theme (for example, when practicing developing interview questions). This also enables the auditors to review the relevant documentary evidence for the corresponding theme prior to the audit week. Host student auditors may also opt to support a particular theme during the audit week, or alternatively provide support across multiple themes depending on their preferences and logistics for delivering the audit week.

Assessment and certification

Through participation in the ESSA project, students have the opportunity to complete a Certificate in Social Responsibility Auditing. The certificate is a 5 ECTS course at European Qualification Framework Level 6. During the funded project, only visiting students who complete an audit at a different institution to their own are eligible to participate in the certificate however alternative options for recognising participation could be offered by institutions if desired.

The assessment draws on students' experiences of both the Auditor Training Programme and the Audit itself and is assessed through using an e-portfolio. As such, the approach to assessment is:

Experiential: is learning as a lifelong process grounded in experience. Experiential learning may already be part of your formal academic courses through work-based placements or real-life projects. It may also be occurring outside your formal academic learning, for example when you engage in extra-curricular experiences. For experiential learning to happen it is not enough just to 'carry out a project' or 'experience something' though: as learners, students need to be engaging actively and fully with the experience, understanding how relevant it is to them, considering their previous knowledge, skills, background, etc, and constantly critically reflecting on the experience and their learning from it. This critical reflection will allow students to transfer and apply their learning into new contexts and situations, learning and developing across various aspects of life. Experiential learning is likely to include learning from mistakes too!

Reflective: reflective learning is critical to successful experiential learning as it is about turning experiences in to the knowledge, skills and attributes required to be competence in a task or activity. Without reflecting on experiences, how can we expect to learn from them?

Learning outcomes

Through participation in this project, students completing the certification and assessment will be expected to be able to:

1. Demonstrate knowledge and understanding of the principles and practices of social responsibility in the higher education sector in different national contexts;
2. Demonstrate critical knowledge and understanding of the principles and practices of social responsibility auditing in the higher education sector involving the collection, synthesis, analysis and reporting of evidence of University Social Responsibility (USR) performance;
3. Demonstrate the use of relevant skills and attributes (academic, professional and/or personal, including working in teams in an international project) in order to engage effectively and critically with the application of the USR benchmark standards;
4. Evaluate and critically reflect upon their approach, their learning, their development and their judgement in the conduct of a social responsibility audit.

Assessment
The assessment approach follows the structure of student participation in the ESSA project. During the funded project, assessment was completed through an e-portfolio which included a resource pack with comprehensive information on the assessment process and how to use the e-portfolio; and a workbook which is a personal portfolio for collecting evidence of learning and for write and submit reflective reports. These resources are available within the assessment manual.

The e-portfolio provides guidance and suggestions for students to reflect on their experiences of the Auditor Training Programme and the experience of the Audit. It is also recommended that they identify their personal learning objectives for the audit itself and a self-assessment instrument is provided to help you do this.

Following the Audit experience in student auditors submit a 1000-word Interim Reflective Report. This report does not contribute to the final mark but is, rather, an opportunity for students to practice their reflective writing, understand the assessment process and criteria and to receive formative feedback on this short report. This formative feedback will help in writing the Final Reflective Report.

The Final Reflective Report is the summative assessed work for the course and determines the final mark and grade for the course. The Final Reflective report is approximately 2,500 words and should draw in the evidence collected throughout the auditors' experiences of participating in ESSA.

It is recommended that student auditors receive information on the assessment process during the auditor training programme, including suggested submission dates for the Interim and Final Reflective Reports. Dates for the provision of feedback on these reports should also be provided.

Auditor communications

Where audits involve students from multiple different universities, including across multiple countries, it is useful to provide mechanisms to enhance communication both within the student auditor team, but also between the staff team at the university being audited and the auditor team. During the audits funded by Erasmus+, a file sharing site (see section 5.2) was created to enable the sharing of documentary evidence between the host and audit teams, and also as a resource for auditors to save any analytical documents produced during the audit week. The site also hosted the audit report produced by the auditors whilst back at their home institutions. In addition, Skype calls were arranged for the student auditor team prior to the audit week to allow students from different universities the chance to meet 'virtually'. It is worth considering how team-building exercises can be built into any calls that are arranged across the institutions participating in the audit as well as scheduling team-building into the audit week when auditors will meet face to face. Examples of 'virtual' team-building exercises can be found in the annex of this guide. During the funded project, a Facebook group was created for each audit to facilitate communications prior, during and after the audit week both within the student auditor team and between staff managing the audit schedule and student auditors (visiting and host auditors).

Templates for manuals have also been developed for visiting and host students to support them during the audit week. These templates contain a wealth of information – for example contextual information about the university being audited, it's location, the audit week schedule and key reminders of aspects of the auditor training programme they will have experienced. These resources can be found online here.

Delivering an ESSA audit

This chapter outlines the detail of how the audits against the Benchmark Standards for University Social Responsibility can be conducted following the ESSA model

Delivering an ESSA audit

As has been stated earlier in this manual, every audit requires a set of criteria that an organisation is audited against, and for the purposes of ESSA, universities will be audited against the Benchmark Standards for University Social Responsibility (USR) that were developed as part of another EU funded project – EU-USR. This chapter outlines the detail of how the audits were conducted during the funded project.

Collecting evidence

As part of the auditor training programme, students will learn how to conduct an audit and gain an understanding of the type of evidence that they will be assessing. Broadly, students will use the following methods:

Documentary evidence

A large number of criteria refer to policies, publications, reports and other forms of written evidence. As part of the audit, auditors will 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, and that relevant confidentiality agreements are secured from the student auditors.

Site evidence / observation

Being on-site to carry out an audit (as opposed to desk-based audits) can be very powerful. It can help identify how things are done (or not done) in practice, through observation. Site evidence is useful when auditors are auditing criteria that relate to infrastructure for example. If the audit involves site evidence, it is important for the auditee(s) to provide auditors with the necessary access (e.g. if some areas are restricted).

Focus groups

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 contribution is difficult. The moderator's goal is to generate a range of different ideas and opinions from as many different people in the time allotted. This method requires less resources compared to personal interviews. Focus groups are a useful way for student auditors to speak with students from the audited university about their experiences of social responsibility at their university.

Personal interviews

Delivering an audit is likely to require speaking to individuals on a one to one basis; interviews are very useful in generating qualitative data. This method helps auditors to learn more about the situation in detail, to discuss issues that would be difficult to address in group situations and to reveal personal perspectives on a particular topic. Semi-structured interviews are the

most commonly used because they can be conducted with a fairly 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. When identifying relevant staff and stakeholders to contribute to the interviews, it is useful to collate short biographies of each interviewee to enable student auditors to develop appropriate interview questions.

The evidence map

It is important to gather data in a coherent and organised way; in ESSA, evidence is organised through an evidence map. The evidence map gives an indication of what type of evidence auditors will assess during the audits.

Institutions should detail and describe the evidence they are submitting under each of the benchmark standard criteria, as well as outlining why it is being submitted. This enables auditors to see what comments and evidence universities have submitted prior to the in-person audit week.

Figure 6 shows a snapshot of an evidence map from each of the four themes within the Benchmark Standards for University Social Responsibility – a full version can be found in the annex here, and can also be downloaded as a Microsoft Excel spreadsheet template here.

Figure 6 | Evidence map example					
RT001	The institution guarantees academic freedom for its staff and students.	Academic freedom is the conviction that the freedom of inquiry by faculty members is essential to the mission of the academy as well as the principles of academia, and that scholars should have freedom to teach or communicate ideas or facts (including those that are inconvenient to external political groups or to authorities) without being targeted for repression, job loss, or imprisonment. This extends to the opportunity for dissemination of information (such as research outcomes) to media and the public. Students and university staff should have the ability to have open debates in lectures, symposia etc. In many countries, academic freedom is a contested issue, and can therefore have limitations in practice. Click [https://www.ucu.org.uk/academicfreedom] to find out more about academic freedom in the UK, from the University College Union perspective.	Auditors may ask to view written policies. They may seek to speak to a number of academic staff from different departments about their experiences with regards to academic freedom. They may also ask to speak to some students from the university. Type of evidence: documentary evidence, on site interviews/focus groups	*[Use this column to provide links to online sources of evidence, or to direct auditors towards documents saved on an online filesharing site. You can list multiple pieces of evidence in each cell.]*	*[Use this column to provide auditors with brief descriptions of how each piece of evidence meets the criteria.]*

| GOV001 | The institution encourages a culture of social responsibility with high ethical and professional standards and clear protocols to avoid conflict of interest. | Social responsibility describes the way universities can make a difference to the social and economic well-being of their communities through their teaching, research, and public events and activities. Universities may like to prioritise their social responsibility activities - they could include carrying out impactful research, engaging with their communities, ensuring their students graduate with attributes that make them socially responsible citizens etc.

Ethical standards refers to standard principles that encourage the greater values of trust, fairness and benevolence. Ethical standards may refer to responsibilities for some professionals. Ethical standards vary based on industry and a person's own moral compass. Different industries have ethical standards that determine how a person or organisation must act in order to be respected within the field. The medical and financial fields often have stricter ethical standards and guidelines than other professions. In relation to universities, ethical standards often relate to research undertaken (please refer to criterion 9 under research, teaching, support for learning and public engagement). | Auditors may ask to view protocols, communications and guidelines in relation to ethics, professional standards and responsibility. Auditors may also ask to interview staff from a range of disciplines at the university.

Type of evidence: documentary evidence, interviews | | |
| ESR001 | The institution ensures its policies and practices minimise any negative impact on the environment caused by its activities or supply chain. | An [environmental policy] is a core requirement of an [environmental management system]. It is an agreed documented statement of an organisation's stance towards the environment in which it operates.

The policy is the cornerstone of its intent to reduce its carbon footprint, improve recycling, reduce reliance on packaging, minimising waste, improve efficiencies on finite natural resources in all of the company's operations and all departments.

Sometimes organisations have good environmental practices embedded as part of general policies, e.g. sustainable travel options/procedures may be part of the travel policy, as opposed to having a standalone environmental policy. | Auditors will ask to see a copy of the university's environmental policy, or see that separate policies integrate environmental considerations.

Type of evidence: documentary evidence | | |

FP001	The institution promotes and celebrates pluralism and diversity, and ensures equality regardless of age, culture, ethnicity, gender or sexuality.	It is important that no unlawful direct or indirect discrimination occurs in the work place, and that diversity and equality in the workplace is celebrated.	Auditors may ask to see copies of procedures and policies that reflect the institution's approach towards equality. They may also ask to speak with staff and look at the university's website. Type of evidence: documentary evidence, on site staff interviews/focus groups, on site observation.		

Institutions should ensure they begin the process of mapping evidence early in the timeframe of delivering an audit (see section 3.1) to enable student auditors the chance to review the evidence. Ideally the auditors should be able to review the evidence during their training, or in the very least in the fortnight prior to the audit week.

In order to share documentary evidence with auditors, it is useful to set up a file-sharing group or site that can be accessed by all parties involved in the audits who require access to the documents (for example, Microsoft Sharepoint, DropBox, Google Drive). The file-sharing mechanism used should be approved by the host institution's IT or GDPR policies.

The audit week

The duration of an audit may vary, some may last a few hours, and some may last a few weeks. During the Erasmus+ funded project, visiting student auditors from partner institutions were required to have 5 days international exchange to another country, completing the audit of a participating partner university. The suggested schedule is for a week-long audit, starting in full on a Monday and culminating on Friday, with the students arriving in the audit location the Sunday prior to the start of the audit and departing following the end of the audit. The schedule for the audit should be shared with student auditors as soon as possible before the audit to allow them sufficient time to prepare. Universities conducting an ESSA audit outside of the Erasmus+ funding may opt to deliver the audit over a different time period, for example devoting 1 day per week to audit activities over the course of an academic term.

The timetable below gives a suggested outline schedule of an audit week.

Figure 7 | Example audit week schedule	
Day	Activities
Monday	• Introductions – ice breakers / team building activity • Welcome from the university and students' union • Refresher of the audit process and schedule • Tour of campus

	• Student auditor team planning of the audit – identification of who is working on which theme, who will be doing what • Review of final presentation and reporting requirements • Team review / assessment / reflection time
Tuesday	• Morning briefing session • Review of the documentary evidence • Planning for interviews and focus groups • Auditor team de-brief and report work • Team review / assessment / reflection time
Wednesday	• Morning briefing session • Interviews with key contacts/focus groups/observation • Auditor team de-brief and report work • Team review / assessment / reflection time
Thursday	• Morning briefing session • Final interviews with key contacts/focus groups/observation • Auditor team de-brief and report work • Preparation of final presentation • Team review / assessment / reflection time
Friday	• Morning briefing session • Preparation and practice of final presentation • Delivery of final presentation to university stakeholders • Auditor team de-brief and report work, including identifying roles and responsibilities and timeline for delivery of audit feedback report • Team review / assessment / reflection time

Supporting student auditors during the audit week
It is suggested that the audit kicks off with an opportunity for the auditors to learn more about each other, and a general overview of the audit week. Running some team-building activities is an important way for the auditors to develop closer links and understand where strengths lie within the team. This is particularly important if the auditors are from different universities as it is likely to be the first time all auditors will be in the same room together. See Annex for ideas for team building activities. It is also important for student auditors to have time to develop their Benchmark teams for the week (see section 4.4). It is recommended that auditors are allowed time to discuss their ways of working for their teams on the first day of the audit and spend time allocating roles and responsibilities. Facilitators may be required to support students experiencing issues with group working during the audit week. Example resources to support students when working in groups can be found in the annex here.

The first day is also an important opportunity to provide students with an overview both on the university itself, and on the higher education policy context in the country in which the university is based.

It is also recommended that each day of the audit commences with a briefing session to provide auditors with a reminder of the day's activities and a chance to clarify any issues or raise questions. The final session of each day should be devoted to giving auditors a chance to regroup and discuss the day's activities and their findings as well as spending time on their assessment requirements.

Students' associations/unions and host student auditors may want to organise some optional evening activities for all students involved in the audit week, offering the chance to explore the location in which the university is based and also to further facilitate team building.

More detailed examples of the audit schedules delivered within the project so far are provided in the annex.

Audit feedback report

Following the completion of the audit week, visiting student auditors will put together a feedback report to present the results to the relevant staff at the university being audited. This will be a written report that captures a qualitative account of what students observed as during the audit, building on the initial findings presented by auditors to key stakeholders at the end of the audit week. The report follows the subsequent structure, and a full template will be provided to student auditors involved in writing the report:

- Introduction
- Audit methods
- Results
  - Research, Teaching, Support for Learning and Public Engagement
  - Governance
  - Environmental and Societal Sustainability
  - Fair Practices
- Conclusions
- Recommendations
- Bibliography
- Annexes

It is suggested that student auditors receive 4 weeks to submit a draft feedback report to the university being audited (though this should be negotiated and confirmed with student auditors to take existing course commitments into account). The audited university is then able to review the report and provide a response (ideally within 2 weeks), before submission of the final report 2 weeks later. These are suggested timings that have been used during the Erasmus+ funded work, however it is also important to take into account existing course commitments and deadlines the auditors may have.

It is important for facilitators and staff who have been involved in the auditor training programme and audit arrangements, either as hosts or at universities sending students on an exchange to deliver an audit, oversee the auditor response to the audited institutions feedback on the report to ensure any feedback is addressed in an appropriate manner.

It is also worth considering how the auditor's report will be used by the university being audited, for example whether there are specific stakeholders, committees or departments that should be engaged in more depth with the findings. Where possible, feedback should be provided to student auditors detailing how their findings have been received and any actions (or commitments to action) that stem from their recommendations.

Annex

Student auditor recruitment materials
Audit resources

Annex

Student auditor recruitment materials

Recruitment advertisement

The following information can be included in recruitment information designed to recruit visiting student auditors. Information should be revised appropriately to reflect the opportunity on offer (for example, if the Certificate in Social Responsibility Auditing is being offered / applicable, whether the opportunity involves international travel, what costs are covered etc.).

Gain extra academic credits and work experience!
- Want to gain the skills and knowledge associated with social responsibility auditing?
- Want to gain some extra academic credits?
- Want to improve your CV and gain valuable employability skills?
- Want to be involved in an EU project and have the opportunity to travel to another European country (5 days, all costs covered by the university)
- Want to meet students from other European universities?
- Want to find out more about sustainability issues?

European Students, Sustainability Auditing (ESSA)
ESSA is a social responsibility auditing programme that offers students the opportunity to develop new skills and work experience, gain 10 credits, and learn more about sustainability and social responsibility in universities across Europe (participating universities are [*insert names of institutions taking part*]). At the same time students play a crucial role by providing feedback to the participating universities how well they are doing on social responsibility through delivering an audit using a specially developed set of benchmark standards on university social responsibility.

You will receive [*insert number of days*] days of training to enable you to participate in the audits, aiding your own understanding, developing your skills and employability and securing additional academic credits at the same time as contributing to the advancement of social responsibility and sustainability in European Higher Education Institutions.

I'm interested! What will my role entail?
You will receive [*number of days*] days of training at your university about social responsibility and auditing (no prior knowledge necessary).

You will then have the opportunity to conduct an audit with other students from [insert names of universities / faculties]– you will need to travel for 5 days to [*insert details of university being audited*] where the audit will take place. *All associated travel/accommodation costs are included* as this is a funded project!

As part of the opportunity you will be reporting back the results of your audit to the university and reflecting on your learning journey.

Essential eligibility criteria
- Commit to a total of [*number of days*] days including [*number of days*] of training, [*number of days*] of travel
- Commit to putting together a report for a university
- Fluent in English

What do I do to sign up?
Contact [*insert contact details*] at your institution if you are interested in taking part.

Find more information here [*ESSA Facebook page*] and here [*institution page*]!

ESSA auditor commitment and confidentiality letters

The following letter outlines the expectations for students participating in the auditor training programme and then completing an audit as a visiting student auditor. The text should be reviewed and amended according to the opportunity being offered to students. A revised version may also be used for host student auditors.

Student and ESSA team agreement

This agreement outlines the expectations of your role as participant in the auditor training programme and your role as an auditor.

Objective

Take part in ESSA auditor training programme and carry out an audit of a university in the European Higher Education Area, using the University Social Responsibility Benchmarks framework. You will receive EQF Level 6 compatible certification of student knowledge, skills and competence, subject to successfully completing the required assessment.

Your commitment

- Attend all the necessary training days as outlined in the auditor training programme timetable ([*insert days*] days)
- Do all the necessary readings and preparation required
- Travel to carry out an audit of a University in the European Higher Education area ([*insert days*] days)
- Respond promptly to any communication pre-course, mid-course and post-course
- Undertake the required assessment elements – pre-course/post course
- Respond in a timely manner to all monitoring and evaluation requirements
- Treat all your co-auditors, facilitators, university staff with respect and professionalism
- Sign the confidentiality agreement in relation to the audit that you will undertake

Name:

Signature:

Date:

Confidentiality agreement

The ESSA audit will involve reviewing documents submitted by universities to evidence their compliance with University Social Responsibility Benchmarks, observing the work practices in relation to the Benchmarks, and carrying out interviews with key informants. You will be working together with other students (the 'Audit Team') to carry out the audit of the specified university, and meeting throughout the process to read and discuss the information collected. It is important to note that a university undergoing an ESSA audit, is entirely voluntary.

To ensure the integrity of the audit process, data protection, privacy of individuals at the university, and confidentiality, as a member of the Audit team you will ensure that:

- The material collected and available to you is intended only for use in conducting the University Social Responsibility audit and to provide the audit team with evidence on compliance with specified criteria that form the framework for the audit.
- You will be asked to keep any hard copies of materials containing confidential information in a secure location and will return materials to relevant personnel as requested.
- You will be provided with instructions of where to save any electronic copies of confidential information and will not save these documents to any other location
- If you decide to use examples of good or poor practice, uncovered as part of the audit, in public presentations, trainings, and other settings outside of your role in the Audit Team, you will need to ensure all names/places are made anonymous, unless explicitly given permission.
- You will not remove any confidential non-public documents, files, or other records containing personal identifying information, unless specifically agreed upon with the university.
- You will not release findings; these will be owned by the university you audited, and it will be under their discretion whether they will be made public.
- In the unlikely circumstance where you observe a practice that requires immediate attention, either because of threats to a person's safety or apparent professional misconduct, you will need to communicate your concern privately to appropriate members of the university.

Name:

Signature:

Date:

Audit resources

Evidence map

Benchmark standard 1: Research, teaching, learning and public engagement					
Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
RT001	The institution	"Academic freedom is the conviction that the freedom of inquiry by faculty	"Auditors may ask to view written policies.	*[Use this column to*	*[Use this column to*

				provide links to online sources of evidence, or to direct auditors towards documents saved on an online filesharing site. You can list multiple pieces of evidence in each cell.]	*provide auditors with brief descriptions of how each piece of evidence meets the criteria.]*
	guarantees academic freedom for its staff and students.	members is essential to the mission of the academy as well as the principles of academia, and that scholars should have freedom to teach or communicate ideas or facts (including those that are inconvenient to external political groups or to authorities) without being targeted for repression, job loss, or imprisonment. This extends to the opportunity for dissemination of information (such as research outcomes) to media and the public. Students and university staff should have the ability to have open debates in lectures, symposia etc. In many countries, academic freedom is a contested issue, and can therefore have limitations in practice. Click [https://www.ucu.org.uk/academicfreedom] to find out more about academic freedom in the UK, from the University College Union perspective."	They may seek to speak to a number of academic staff from different departments about their experiences with regards to academic freedom. They may also ask to speak to some students from the university. Type of evidence: documentary evidence, on site interviews/focus groups"		
RT002	The institution widens and diversifies access to education within a commitment to lifelong learning.	"Life-long learning can be defined as the provision or use of both formal and informal learning opportunities throughout people's lives in order to foster the continuous development and improvement of the knowledge and skills needed for employment and personal fulfilment. There are a number of things that universities can do to enable people to access life-long learning - for example thinking about the timetables of courses (to attract people who work - either part time or full time). There shouldn't be age restrictions on courses (or funding) both for staff and students. Here is an interesting article about life-long learning in Japan [https://jalt-publications.org/files/pdf-article/art1.pdf] or you can find out more about life-long learning in the EU here [http://www.europarl.europa.eu/thinkt	"Auditors may ask to see any strategies/policy documents that illustrate how commitment to diversifying access to education/life long learning will be fulfilled. Type of evidence: documentary evidence"		

		ank/infographics/lifelonglearning/index.html] "			
RT003	The institution manages student admissions in a transparent and equitable way, using explicit criteria to inform selection decisions, providing formative feedback to unsuccessful candidates.	Students should be able to ask and receive feedback if they are unsuccessful in being accepted for a course that they have applied for. There should be a transparent set of criteria that students are scored against.	"Auditors may ask to see examples of criteria and feedback processes. Type of evidence: documentary evidence, on site interviews/focus groups"		
RT004	The institution ensures that public funds provided to support teaching and learning and student fees are used for the purpose for which they are provided.	In the current economic climate it is important that the funds that universities go towards teaching and learning and student facilities are used for such purposes. Looking at how money is internally distributed, can provide insight into whether money is used for the purpose it is provided.	"Auditors may ask to review university account details or documents that outline the breakdown of funding. Auditors may also ask to carry out interviews. Type of evidence: documentary evidence, interviews"		
RT005	The institution requires that its curricula are informed by socially responsible, ethical research and that its graduate attributes	"It is important to embed education for sustainable development (ESD) in the curriculum so students develop knowledge, skills, and attributes for sustainability. A longitudinal survey by NUS UK has shown that 60% of students want to see more sustainability content included in their course [https://sustainability.nus.org.uk/our-research/our-research-reports/education-learning-	"Auditors may view evidence of the discussion or plans to incorporate ESD (or similar) into curriculum, which may be through logged phone calls, emails, meetig minutes or actions arising as a consequence. Type of		

	incorporate evidence-based thinking and decision-making, active citizenship and employability.	employment-and-sustainability/sustainability-skills-annual-survey]. ESD can be embedded in the curriculum in numerous ways. This includes: as stand-alone modules directly relating to sustainability themes; embedding sustainability knowledge, skills, and attributes throughout existing modules; through the use and analysis of resources with content relating to sustainability; or through wider practical activities of the course. Ideally a variety of these methods would be used to ensure a holistic learning experience. Including modules on citizenship is another way ensuring that students become more active citizens; this for example is a core module at Kaunas University of Technology. For further information on ethical research please refer to criterion 9 under in this section. In the UK, the Higher Education Academy and Quality Assurance Agnecy produced a guidance document which outlines pedagogical approaches for embedding ESD [http://www.qaa.ac.uk/en/Publications/Documents/Education-sustainable-development-Guidance-June-14.pdf]."	evidence: documentary evidence, on site interviews/focus groups"		
RT006	The institution adopts a student-centred approach to teaching, learning and student support, ensuring assessment and feedback is used to promote learning.	"Learner-centered teaching is an approach to teaching that is increasingly being encouraged in higher education. Learner-centered teachers do not employ a single teaching method. Instead, teaching emphasises a variety of different types of methods that shifts the role of the instructors from givers of information to facilitating student learning. Traditionally instructors focused on what they did, and not on what the students are learning. This emphasis on what instructors do often leads to students who are passive learners and who did not take responsibility for	"Auditors may ask to speak to lecturers and professors about their approaches to learning. They may also ask to see lectures plans/curricula and interview students. Type of evidence: documentary evidence, on site interviews"		

		their own learning. Educators call this traditional method, "instructor-centered teaching." In contrast, "learner-centered teaching" occurs when instructors focus on student learning and utilise more active learning methods. More on student-centred learning can be found in the European Students' Union Student Centred Learning toolkit [https://www.esu-online.org/wp-content/uploads/2016/07/100814-SCL.pdf]. "			
RT007	The institution facilitates collaborative and independent learning that goes beyond the classroom and into the community.	"The shift of responsibility for the learning process from the teacher to the student is one of the key elements of independent learning. This involves students acquiring an understanding of their learning, being motivated to learn and collaborating with teachers to structure their learning environment. Independent learning does not only involve students working alone; teachers have a key part to play in enabling and supporting independent learning though, for example, structuring group work. Some institutions have successfully embedded estates and/or operational research questions into learning and teaching so as to foster a "living laboratory" on campus. This provides real-world problem-solving opportunities to students, enriching their academic experience; provides useful research and assistance to estates and/or operational staff; and helps all staff feel that they are contributing to the institution's educational remit. The University of British Columbia [https://sustain.ubc.ca/about] provides a good example of this in practice. Learning doesn't just happen in the classroom; integrating collaboration with the community or	"Auditors may look for evidence of lecturers/tutors encouraging independent learning. They may ask to speak to students about their experiences. Students may also look at work spaces/infrastructure. Type of evidence: documentary evidence, on site evidence."		

		business into the curriculum, can have very positive effects. It is important to ensure that there is space/infrastructure to support this - for example rooms/areas that students can use for independent study/group work."			
RT008	The institution enables international collaboration and supports student and staff cross-border mobility.	International collaboration can be very beneficial for university and staff. It enables them to aquire new skills and understanding, and ways of working in different environments - it is great for knowledge transfer and can lead to bigger and better impacts in terms of research and outcomes. It is important to ensure that there is infrastructure developed to enable international collaboration (e.g. to support incoming students, ensuring that some courses are in English or creating opportunities to attract visiting professors).	"Auditors may ask to see proof of support (e.g. grants/scholarships) that enable student and staff to have mobility. They may also ask to see examples of collaborative international projects. Auditors may also ask to speak with some exchange students, visiting professors, and may ask to see statistics on students and staff undergoing mobility. Type of evidence: documentary evidence, interviews."		
RT009	The institution enforces ethical protocols for research, teaching and related activities.	"Poor practice, fraud and other forms of misconduct can cause significant harm to research. They can damage the quality of research and its international reputation. They represent a breach of trust with the public, which supports research through charities, other funding bodies and taxes. Misconduct and poor practice can cause considerable financial and reputational damage to research institutions, jeopardise public funds and, most importantly, put participants, patients and the public at risk or cause actual harm. Research	"Auditors may ask to see examples of protocols and procedures, and programmes. Auditors may also speak with students about guidance that they have received. Type of evidence: documentary evidence, interviews/focus groups."		

Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
		ethics committees are responsible for reviewing ethics applications in order to ensure that adequate consideration has been given to the ethical aspects of a research project, thus reducing the potential for harm and upset to the participants. There are national organisations that can help provide advice and support on these issues, such as [http://ukrio.org/]."			
RT010	"The institution facilitates dialogue between the research community, the public and policy makers to link research to 'real world' issues."	"Some institutions have successfully embedded estates and/or operational research questions into learning and teaching so as to foster a "living laboratory" on campus. This provides real-world problem-solving opportunities to students, enriching their academic experience; provides useful research and assistance to estates and/or operational staff; and helps all staff feel that they are contributing to the institution's educational remit. In the UK, NUS-UK's Dissertations for Good programme [www.nus.org.uk/dfg] enables students to use the research required as part of their course to benefit real life sustainability and social responsibility work. "	"Auditors may ask to see examples of collaboration between researchers and the community, and examples of research carried out by the community. They may also ask to see reports or guidance documents. Auditors may also ask to speak to academics about research that they are conducting. Type of evidence: documentary evidence, on site interviews"		

USR Benchmark standard 2: Governance					
Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
GOV001	The institution encourages a culture of social responsibility with high ethical and professional standards and clear	"Social responsibility describes the way universities can make a difference to the social and economic well-being of their communities through their teaching, research, and public events and activities. Universities may like to prioritise their social responsibility activities - they could include carrying out impactful research, engaging with their communities, ensuring their students graduate with attributes that	"Auditors may ask to view protocols, communications and guidelines in relation to ethics, professional standards and responsibility. Auditors may also ask to interview staff from a range of	*[Use this column to provide links to online sources of evidence, or to direct auditors towards*	*[Use this column to provide auditors with brief descriptions and explanations of how each piece of evidence*

				documents saved on an online filesharing site. You can list multiple pieces of evidence in each cell.]	meets the criteria.]
	protocols to avoid conflict of interest.	make them socially responsible citizens etc. Ethical standards refers to standard principles that encourage the greater values of trust, fairness and benevolence. Ethical standards may refer to responsibilities for some professionals. Ethical standards vary based on industry and a person's own moral compass. Different industries have ethical standards that determine how a person or organisation must act in order to be respected within the field. The medical and financial fields often have stricter ethical standards and guidelines than other professions. In relation to universities, ethical standards often relate to research undertaken (please refer to criterion 9 under research, teaching, support for learning and public engagement)."	disciplines at the university. Type of evidence: documentary evidence, interviews"		
GOV0 02	The institution formally recognises staff and students' unions and involves them as partners in governance and decision-making, providing for their representatio n on the Board (or equivalent) and on its advisory committees.	"Allowing staff to organise is a basic right stated in the International Labour Organisation's core conventions. It is important however to realise the context of each participating institution as legislation on university governance and staff unions varies between countries. "	"Auditors may ask to view formal commitments, documents and interview staff. For the staff council/workplace committee, the auditors may interview an active member. Auditors may also ask to view committee minutes of meetings and membership lists. Type of evidence: documentary evidence, on site interviews"		
GOV0 03	The institution ensures that social responsibility	Having senior management support for social responsibility is one way to try and ensure that the institution is able to achieve its sustainability goals.	"Auditors may ask to view the university's operating or strategic plan, minutes of meetings involving		

	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.		senior management. Auditors may also ask to speak with senior members of staff and to review annual or activity reports. Type of evidence: documentary evidence, interviews"		
GOV0 04	The institution exercises due diligence by assessing the risk and impact of all activities, ensuring compliance with the law, relevant standards and norms.	"Due diligence can be described as ""The care that a reasonable person takes to avoid harm to other persons or their property; in this sense, it is synonymous with another legal term, ordinary care. More recently, due diligence has extended its reach into business contexts, signifying the research a company performs before engaging in any financial transaction. This meaning may also apply to individuals: people are often advised to perform their due diligence before buying a house, signing a loan, or making any important purchase." Merriam-Webster Dictionary Online, 2019: www.merriam-webster.com/dictionary Organisation often have risk registers, where they track potential risks (low, medium, high) with regards to various activities and projects, healthy and safety etc."	"Auditors may ask to view procedures in relation to assessing risks and any audits undertaken. They may also ask to see an example of a corporate register log. Auditors may also ask to speak to members of staff responsible for implementing regulations (such as health and safety) Type of evidence: documentary evidence, interviews"		
GOV0 05	The institution conducts ethical and socially responsible investment and procurement,	"It is important to understand the national context of each university, as public procurement practices are often driven by national legislation. In terms of responsible investment, financial assets may include endowments or pension funds. Again however, it is important to understand national context; for example universities in	"Auditors may ask to see an audit that outlines the university's spending and/or procurement and investment policies. Type of evidence:		

	with comprehensive public reporting of criteria and decisions.	Portugal by law do not have endowment funds. This however is different in the UK where universities often have endowment funds. In 2015-16 NUS-UK conducted a significant piece of research into university investments through sending out Freedom of Information requests. Findings showed that in 123 higher education institutions who submitted their data, £11.5 billion worth of financial and other assets were held in university endowments (excluding Oxford and Cambridge (Oxbridge), and their Colleges, 121 universities have endowment funds that total at least £3.1 billion) - at least £1.1 billion of the £3.1 billion are held as investments in listed equities. The way these sums of money are invested can have significant impact (both positive and negative). "	documentary evidence"		
GOV006	The institution is a responsible neighbour, facilitating dialogue and working in partnership with and investing in the local community.	"Universities can have a significant impact on their community. They provide jobs, facilities and resources, putting them right at the heart of their city or region. They can provide lots of support through student volunteering in the community, and boost the local economy. For more information see [http://www.universitiesuk.ac.uk/facts-and-stats/Pages/impact-of-higher-education.aspx]."	Auditors may ask to see any protocols or examples of the impact that the university has on the community. Auditors may ask to see case studies, or speak with members of staff responsible for outreach.		
GOV007	The institution recognises its staff and student social responsibility initiatives through an internal reward scheme.	"A good way to improve the social responsibility of an institution is to run internal award schemes, that encourage staff and students to take bottom of responsibility. There are numerous institution specific schemes that exist within institutions, in addition to national schemes. For example, in the UK Green Impact [www.nus.org.uk/greenimpact] brings together staff and students to complete sustainability actions within	"Auditors may ask to view information on how schemes run, and how successful it has been. Auditors may also ask to speak to members of staff involved. Type of evidence: documentary evidence, on site interviews"		

		their students' union, university, college, or community organisation and recognises their achievement with an award. Another good example is the Green Offices programme run by Harvard University in the USA - [https://green.harvard.edu/programs/green-offices]. "			
GOV008	The institution actively participates in relevant social responsibility networks.	"Being part of a social responsibility network can be very beneficial in terms of gaining knowledge and expertise from others. Numerous social responsibility networks exist across Europe - some are national, others are international. Examples include: - [http://www.eauc.org.uk/] - Environmental Association of Universities and Colleges (UK based) - [http://green.unica-network.eu/] UNICA Green (Europe) - [http://www.copernicus-alliance.org/] Copernicus Alliance (Europe) - [http://www.international-sustainable-campus-network.org/] ISCN - (International Sustainable Campus Network) (Global) - [http://www.aashe.org/] Association for the Advancement of Sustainability in Higher Education (North America) - [http://www.workersrights.org/] Worker's Rights Consortium) (Global) - [http://www.unprme.org/] Principles for Responsible Management Education (Global)"	"Auditors will talk with relevant members of staff and will ask to see proof of membership to networks and active participation. Auditors may run a focus group or have informal lunch with communities who have some form of interaction with the university. Auditors may also ask to see what funding streams are provided by the university to support community engagement activities. Type of evidence: documentary evidence, on site interviews, focus groups."		
GOV009	"The institution reports on its progress towards clear and independently verified social responsibility and	Reflecting on qn institution's aims and milestones on a regular basis is important to keep track of progress. External/independent verification often provides great focus and quality assurance. There are various initiatives that reward good reporting such as the EAUC Green Gown Awards Reporting Category as examples of best practice [http://www.eauc.org.uk/green_gown_awards].	"Audiors may ask to see the report on social responsibility and sustainability goals. In cases where a university does not have a specific report dedicated towards sustainability, auditors may ask to see an annual report of activities, accounts		

	sustainability goals."		etc that have a section on sustainability. Type of evidence: documentary evidence."		
GOV010	The institution publishes the outcomes of internal and external reviews, complaints, academic appeals and the source and use of all funding.	It is important for an institution to be transparent in terms of its funding, academic appeals, and any reviews that it undertakes. It generates greater levels of trust amongst students (both prospective and current) and staff. It is, however, important to appreciate the context, as sometimes certain type of data cannot be made public; in such cases it important to understand why this is the case.	"Auditors may ask to see reports that outline the institution's policies, finances etc. Type of evidence: documentary evidence"		

USR Benchmark 3: Environmental and societal responsibility

Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
ESR001	The institution ensures its policies and practices minimise any negative impact on the environment caused by its activities or supply chain.	"An [environmental policy] is a core requirement of an [environmental management system]. It is an agreed documented statement of an organisation's stance towards the environment in which it operates. The policy is the cornerstone of its intent to reduce its carbon footprint, improve recycling, reduce reliance on packaging, minimising waste, improve efficiencies on finite natural resources in all of the company's operations and all departments. Sometimes organisations have good environmental practices embedded as part of general policies, e.g. sustainable travel options/procedures may be part of the travel policy, as opposed to having a standalone environmental policy. "	"Auditors will ask to see a copy of the university's environmental policy, or see that separate policies integrate environmental considerations. Type of evidence: documentary evidence"	*[Use this column to provide links to online sources of evidence, or to direct auditors towards documents saved on an online filesharing site. You can list multiple pieces of evidence*	*[Use this column to provide auditors with brief descriptions and explanations of how each piece of evidence meets the criteria.]*

				in each cell.]	
ESR0 02	The institution promotes sustainable development.	"Sustainable development has been defined in many ways, but the most frequently quoted definition is from Our Common Future, also known as the Brundtland Report: Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs. An institution may promote sustainable development in a number of ways: - integrating it into the student curriculum - ensuring sustainability is integrated into its operations and procurement practices - running awareness events and campaigns throughout the year This list isn't exhaustive, it just provides examples of what universities could be doing."	"Auditors may ask to see examples of policies on sustainable procurement, information on any events run by the university, in-depth analysis of the university's curriculum, initiatives, projects and/or programmes. Type of evidence: documentary and site evidence."		
ESR0 03	The institution delivers a continuous improvement programme that works towards cleaner, sustainable, eco efficient, resource efficient, zero waste and ethical operations including procurement.	"Incorporating environmental issues into an organisation's operating plan is a sign that an organisation is committed to reducing its [environmental impacts]. These plans should have targets for improving the university's performance, with an up-to-date action list which shows what the activities the university is undertaking. Universities often have staff that are responsible for monitoring the university's estate in terms of sustainability, efficiency, waste reductions etc. These staff often are based in the university's estates or HR team (or may sometimes have their own department, if the university is well resourced/committed to the agenda)."	Auditors may ask to view the university's operating or strategic plan, or a list of targets (with a SMART action plan) on how they will be achieved.		
ESR0 04	The institution publishes regular environmenta	Carrying out regular environmental sustainability reports is key in ensuring that the university is on track with its targets and progress. At the same	"Auditors will ask to see copies of environmental sustainability reports that are publicly		

	l sustainability reports, incorporating risk and action assessments covering environmental, societal and supply chain risks.	time, it is a good way to identify any issues that may have arisen.	available Type of evidence: documentary evidence"		
ESR0 05	The institution encourages the use of environmentally friendly technologies, and of energy efficient, reusable and biodegradable materials.	"Energy costs of running equipment can be significant, therefore investing in more energy efficient equipment can save money in energy costs. Departments that buy research, medical or commercial equipment should be taking into account energy and water efficiency as part of their procurement process. This can be done through published lists, such as the UK's Government's [Energy Technology List] and [Water Technology List], or by manually calculating the running cost of products over their whole life through [whole lifecycle costing]. It is possible to buy biodegradable and reusable versions of many products these days. For example it is now possible to buy disposable cutlery made from wood, which [biodegrades] around 10,000 times quicker than plastic versions. Other alternatives are made from plant-based starches. More information, based on the experiences of the 2012 London Olympics can be found in this report from WRAP [http://www.wrap.org.uk/content/working-compostable-products-key-lessons-and-guidelines-future-events]. Environmentally-friendly versions of most stationery products are now widely available. "	"Auditors may ask to see examples of policies, procedures or activities on sustainable procurement, that include information on purchasing of equipment, stationary and any other goods. Auditors may also ask to see how sustainable procurement is encouraged through speaking with staff members. Type of evidence: documentary, site evidence, interviews."		

ESR0 06	The institution 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.	"Fairtrade is about better prices, decent working conditions, local sustainability, and fair terms of trade for farmers and workers in the developing world. By requiring companies to pay sustainable prices (which must never fall lower than the market price), Fairtrade addresses the injustices of conventional trade, which traditionally discriminates against the poorest, weakest producers. It enables them to improve their position and have more control over their lives. For more information visit Fairtrade International [https://www.fairtrade.net/]. You can find some more information on sustainable procurement here [http://www.sustainabilityexchange.ac .uk/procurement_and_supplier_engag ement_]."	"Auditors may ask to see a copy of the university's procurement policy, procedures or activities. Type of evidence: documentary evidence"		
ESR0 07	"The institution ensures respect for and compliance with internationally proclaimed human rights, the rule of law and national and International anticorruption requirements."	Respecting human rights means that an institution should use due diligence to avoid infringing human rights ("do no harm") and should address adverse human rights impacts with which they are involved. Check out this [https://www.unglobalcompact.org/wh at-is-gc/mission/principles/principle-1|link] to find out more	"Auditors may ask to see proof of commitment and/or compliance, this may include copies of reports, strategies, protocols. Auditors may also ask to speak with staff. Type of evidence: documentary evidence."		

Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
ESR008	The institution 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.	"The UN's Sustainable Development Goals are a good starting point. The 'Global Goals [http://www.un.org/sustainabledevelopment/sustainable-development-goals/] universally apply to all countries and aim to ""mobilize efforts to end all forms of poverty, fight inequalities and tackle climate change, while ensuring that no one is left behind."" The 17 goals cover the breadth of sustainability including gender equality, climate action, and peace, justice, and strong institutions. Engaging with the SDGs in teaching and/or research can demonstrate how the team's discipline links to sustainability on the global stage. International activities may include but are not exclusive to the curriculum, research, and trips."	"Auditors may ask to speak to relevant academics or course administrators if they are available and/or view relevant course outlines or resources. Type of evidence: documentary evidence, on site interviews/focus groups"		

USR Benchmark : Fair practices

Ref	Criteria	Further information	How will you be audited	Evidence	Relevance to criteria
FP001	"The institution promotes and celebrates pluralism and diversity, and ensures equality regardless of age, culture, ethnicity, gender or sexuality. "	It is important that no unlawful direct or indirect discrimination occurs in the work place, and that diversity and equality in the workplace is celebrated.	"Auditors may ask to see copies of procedures and policies that reflect the institution's approach towards equality. They may also ask to speak with staff and look at the university's website. Type of evidence: documentary evidence, on site staff interviews/focus groups, on site observation."	*[Use this column to provide links to online sources of evidence, or to direct auditors towards documents saved on an online filesharing site. You can list multiple pieces of evidence*	*[Use this column to provide auditors with brief descriptions and explanations of how each piece of evidence meets the criteria.]*

				in each cell.]	
FP002	"The institution practices open, transparent, fair and equitable recruitment and promotion of staff, using affirmative action where appropriate, providing comprehensive staff development that incorporates social responsibility."	"An equal opportunities employer makes genuine efforts to ensure that its workplace and its employment policies and practices do not unreasonably exclude or disadvantage those job applicants and employees who have disabilities. To that end, the employer complies with the duty to make reasonable adjustments that is imposed on employers in relation to such persons. An equal opportunities employer also operates recruitment and selection procedures that are fair and are based on the principle of selecting the best person for the job."	"Auditors may ask to see copies of procedures and policies that reflect the institution's approach towards equality and look at the university website. They may also ask to speak with staff. Type of evidence: documentary evidence, on site staff interviews/focus groups"		
FP003	The institution establishes through negotiation with staff unions comprehensive employee communication, consultation and negotiation protocols and implements these.	"A staff union is an organisation with members who are usually workers or employees. It looks after their interests at work by doing things like: - negotiating agreements with employers on pay and conditions - discussing big changes like large scale redundancy - discussing members' concerns with employers - going with members to disciplinary and grievance meetings "	"Auditors may ask to speak to staff union representatives and see examples of communications between the university and the union. Type of evidence: documentary evidence, on site staff interviews/focus groups"		
FP004	The institution promotes the health,	Universities should have a duty of care for its staff and students when it comes to mental and physical health, and their safety on campus and in the	"Auditors may ask to see examples of communications and guidance materials		

	safety, physical social and mental well-being of staff and students beyond minimum legal requirements.	workplace. Wellbeing and performance are often interrelated. Find out some more information at: http://www.acas.org.uk/index.aspx?articleid=5031	that promote wellbeing. Type of evidence: documentary evidence"		
FP005	"The institution 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."	"An equal opportunities employer makes genuine efforts to ensure that its workplace and its employment policies and practices do not unreasonably exclude or disadvantage those job applicants and employees who have disabilities. To that end the employer complies with the duty to make reasonable adjustments that is imposed on employers in relation to such persons. An equal opportunities employer also operates recruitment and selection procedures that are fair and are based on the principle of selecting the best person for the job."	"Auditors may ask to see copies of procedures and policies that reflect the institution's approach towards equality. They may also ask to speak with staff. Type of evidence: documentary evidence, on site staff interviews/focus groups"		
FP006	"The institution ensures that working conditions at least comply with relevant national laws, collective agreements and applicable	The International Labour Organisation's core conventions are a good starting point: http://www.ilo.org/wcmsp5/groups/public/@ed_norm/@declaration/documents/publication/wcms_095895.pdf	"Auditors may ask to view examples of procedures and protocols. Type of evidence: documentary evidence"		

	International Labour Organisation standards and makes every effort to avoid casualisation of the workforce."				
FP007	"The institution guarantees freedom of association and respects collective bargaining."	"Allowing staff to organise is a basic right stated in the International Labour Organisation's nine core conventions: http://www.ilo.org/wcmsp5/groups/public/@ed_norm/@declaration/documents/publication/wcms_095895.pdf"	"Auditors will view the formal commitment, view the document and interview staff. For the staff council/workplace committee, the auditors may interview an active member. Type of evidence: documentary evidence, on site interviews"		
FP008	"The institution has transparent, fair and equitable complaints and disciplinary procedures and ensures that complaints and disciplinary matters are addressed swiftly and fairly."	"To be a fair employer and educational institution it is important that there are procedures in place to ensure complaints can be raised by students and staff, no matter what their role, and addressed in a fair and prompt manner. "	"Auditors may ask for copies of procedures and protocols that relate to disciplinary procedures. Type of evidence: documentary evidence."		
FP009	"The institution	Institutions should have specific procedures to deal with breaches of	"Auditors may ask to see evidence of		

	publishes the possible sanctions for a proven breach of ethical or related requirements and protects whistleblowers."	ethical or related requirements, to discourage any offences.	published communications. Type of evidence: Documentary evidence"		
FP010	"The institution provides professional support services to meet specific additional needs of students and staff as arising from a disability, for example."	In order for an institution to reach its academic and research potential for both its staff and students, it is important for there to be a support service (non-academic) that helps students and staff that may face disability, have financial problems etc. Quite often these may be run by students' associations, or by specific teams within universities. [http://www.manchester.ac.uk/study/ experience/student-life/university/student-support/] is an example of different student support services offered by the University of Manchester.	"Auditors may ask to see the departmental structure of the university or speak to relevant departments about the services that they offer. Evidence type: documentary evidence, on site interviews"		
FP011	"The institution communicates with suppliers about its procurement policy and uses research to inform its procurement decisions."	"Procurement is the act of finding, acquiring, buying goods, services or works from an external source, often via a tendering or competitive bidding process. Universities spend a lot of money on enquiring goods, therefore collective can have a huge social, economic and environmental impact. A lot of public sector organisations tend to have procurement policies that pertain to procurement decisions being based on value for money, defined as "the best mix of quality and effectiveness for the least outlay over the period of use of the goods or services bought". This should be achieved through competition, unless there are compelling reasons to the contrary. Universities often have	"Auditors may ask to see information send to suppliers with regards to the institution's procurement policy, and will ask to see the procurement policy. Evidence type: documentary evidence"		

		procurement policies that ensure that products are ethically sourced or environmentally sound (for example buying Fairtrade tea and coffee or FSC accredited wood). It is important to appreciate the context of procurement policies in different countries - for example in Lithuania, procurement policies in universities need to align with national requirements. This website has information on EU procurement derivatives [https://www.gov.uk/guidance/public-sector-procurement-policy]. You can find some more information on sustainable procurement [http://www.sustainabilityexchange.ac.uk/procurement_and_supplier_engagement_]."			

The evidence map tool can be downloaded here.

Example audit week schedules

The following tables outline the audit schedules delivered at each of the four audits held during the Erasmus+ funded period. These are intended to give insight into the types and range of stakeholders that can be engaged in the audit process, rather than being a set way that the audit week should be delivered.

University of Edinburgh ESSA audit schedule (April 2017)

Monday 24th	Tuesday 25th	Wednesday 26th	Thursday 27th	Friday 28th
8am Free time	**8am** Free time	**8am** Free time	**8am** Free time	**8am** Free time
9am Welcome session (introductions, ice-breakers, overview of today) **Room 3.39, 50 George Square**	**9am** Welcome session (overview of today) **Room 3.39, 50 George Square**	**9am** Welcome session (overview of today) **Room 3.39, 50 George Square**	**9am** Welcome session (overview of today) **Room 3.39, 50 George Square**	**9am** Welcome session (overview of today) **Room 3.39, 50 George Square**
	10am Evidence review - documentary evidence **Room 3.39 and 3.29, 50 George Square**	**10am** 6 Interviews with key stakeholders (45 minute meetings will be arranged - with six for each time slot).	**10am** 6 Interviews with key stakeholders (45 minute meetings will be arranged - with six for each time slot).	**10am** Review findings and identify main findings and prepare presentation **Room 3.39, 50 George Square**
11am Tour of the George Square Campus				
12pm Lunch	**12pm** Lunch	**12pm** Lunch	**12pm** Lunch	**12pm** Lunch
1pm - Presentation from EUSA VP Academic Affairs **Room 3.39, 50 George Square**	**1pm** Evidence review - documentary evidence **Room 3.39 and 3.29, 50 George Square**	**1pm** 2 Interviews with key stakeholders / preperation for focus groups	**1pm** 6 Interviews with key stakeholders (45 minute meetings meetings will be arranged - with six for each time slot).	**1pm** Mock run through of presentation **Room 1.19, Patersons Land**
2pm Welcome and discussion with Senior Vice Principal Charlie Jeffery **Torridon Room, Charles Stewart House**		**2pm** 4 x Focus groups with students and staff		**2pm** Presentation to Edinburgh stakeholders on initial findings. **Room 1.19, Patersons Land**
3pm Planning and logistics of the audit **Room 3.39, 50 George Square**				
	4pm Debrief **Room 3.39, 50 George Square**	**4pm** Debrief / small group of students to provide update to Project Board **Room 3.39, 50 George Square**	**4pm** Debrief **Room 3.39, 50 George Square**	
5pm Monitoring and evaluation / self-reflection **Room 3.39, 50 George Square**	**5pm** Monitoring and evaluation / self-reflection **Room 3.39, 50 George Square**	**5pm** Monitoring and evaluation / self-reflection **Room 3.39, 50 George Square**	**5pm** Monitoring and evaluation / self-reflection **Room 3.39, 50 George Square**	**5pm** Close out session / Monitoring and evaluation / self-reflection **Room 1.19, Patersons Land**
6pm - Free time	**6pm** - Free time	**6pm** - Free time	**6pm** - Free time	**6pm** - Social event (open to all student auditors, including host students, attendees to presentation and Edinburgh lead contacts). **TBC**
		6.30pm Dinner and Social with the Project Board Teviot Student Union		**8pm** - Free time
	8pm - Social event (open to all student auditors - suggestion of Summerhall Ceilidh Club).			

Kaunas University of Technology ESSA audit schedule (November 2017)

Monday 13th	Tuesday 14th	Wednesday 15th	Thursday 16th	Friday 17th
8am Free time	**8am** Free time	**8am** Free time	**8am** Free time	**8am** Free time
9am Welcome session (introductions, ice-breakers, overview of today) **Room 206, Donelaičio str 20, KTU Library & Faculty of Economics and Business Building**	9am Welcome session (overview of today) **Room 206, Donelaičio str 20**	9am Welcome session (overview of today) **Room 206, Donelaičio str 20**	9am Welcome session (overview of today) **Room 206, Donelaičio str 20**	9am Welcome session (overview of today) **Room 206, Donelaičio str 20**
11am Tour of National Innovations and Business Centre, **K.Baršausko str. 59**	10am Evidence review - documentary evidence **Room 206, Donelaičio str 20**	10am 11am Interviews (3) Focus Group 1 with students and staff	10am 11am Interviews (3) Focus Group 3 with students and staff	9:30am review findings and identify main findings and prepare presentation. Mock run through of presentation **Room 206, Donelaičio str 20**
12pm Lunch, K.Baršausko str. 59	**12pm** Lunch, Donelaičio str 20	**12pm** Lunch, Donelaičio str 20	**12pm** Lunch, Donelaičio str 20	**12pm** Lunch, Donelaičio str 20
1pm Welcome by Vice-Dean Ramunė Kasperavičienė, **R 203, Mickevičiaus str 37**	1pm Evidence review - documentary evidence Room 206, Donelaičio str 20	1pm, 2pm Interviews (4) Focus Group 2 with students	1pm, 2pm Interviews (4) Focus Group 3 with students	1pm Presentation to Kaunas Stakeholders? On initial findings **6th floor hall, Laisvės al 13**
1:30pm Presentation from KTU SA R 203, Mickevičiaus str 37		2:30pm small group of students to provide update to Project Board **6th floor hall, Laisvės al 13**		2pm Close out session Monitoring and Evaluation / self-reflection **Room 206, Donelaičio str 20**
2:30pm Plannning and logistics of the audit Room 206, Donelaičio str 20		3pm Debrief **Room 206, Donelaičio str 20**	3pm Debrief 4pm Monitoring and Evaluation / self-reflection Room 206, Donelaičio str 20	3pm Making video interviews with student auditors - Alexandra 6th floor hall, Laisvės al 13
3:30pm Evidence review - documentary evidence **Room 206, Donelaičio str 20**	4pm Debrief **Room 206, Donelaičio str 20**		4:30 Walking Tour of Kaunas.	Free time
5pm Monitoring and Evaluation / self-reflection **Room 206, Donelaičio str 20**	5pm Monitoring and Evaluation / self-reflection **Room 206, Donelaičio str 20**	5pm Monitoring and Evaluation / self-reflection **Room 206, Donelaičio str 20**		
6pm - Free time	**6pm** - Free time	6:30 (7pm)Joint social event and dinner with Project Board in the Old Town. Dinner to be paid by participants themselves.	6pmFree time	

University of Porto ESSA audit schedule (September 2018)

Monday 24th	Tuesday 25th	Wednesday 26th	Thursday 27th	Friday 28th
9:15-11:00 Rectory Welcome session – agenda for the week, getting to know each other and the U.Porto	**9:15-9:45 FPCEUP** Welcome session; overview of the day		**9:15-9:45 FPCEUP** Welcome session; overview of the day	**9:15-9:45 FPCEUP** Welcome session; overview of the day
11:00-11:45 Conference "The Earth System, the Anthropocene and Planetary Boundaries" by Prof. Will Steffen	**9:45-12:00** Evidence review – documentary evidence / group work with hosts / preparing interviews and focus groups	**10:00-12:30** Interviews – Rectorate Coordinators of relevant RSU projects	**10:00-12:00** Work in groups – preparing final presentation by benchmarks	**10:00-11::00** Mock run through the presentation
11:45-12:15 Welcome by the Rector of the U.Porto				**11:00-12:00** Presentation to UP stakeholders and ESSA Board team
LUNCH	LUNCH	LUNCH	LUNCH	LUNCH
2:30-5:30 FPCEUP Planning and preparing the work for the coming days (interviews, focus groups, document analysis, …)	**2:00-5:30 Rectory** Interviews – Rectorate Vice-Rector, Pro-Rector and Directors of relevant services	**2:30-5:00 FPCEUP** Focus groups with students, staff, partners, unions	**1:30-2:30 FPCEUP** Presentation of the audit experience to the ESSA Board team	**2:30-3:30 FPCEUP** Plenary with all groups sharing main findings (Report work)
			2:30-5:30 Review main findings and prepare presentation in plenary.	
5:30-6:00 Guidelines for the report work	**5:30-6:00** Plenary with all groups sharing main findings (Report work)	**5:30-6:00** Plenary with all groups sharing main findings (Report work)	**5:30-6:00** Plenary with all groups sharing main findings (Report work)	**3:30-4:30** Close out session. Monitoring and evaluation of the week
6:00-6:30 Monitoring and evaluation/self-reflection (Pebble Pad work)	**6:00-6:30** Monitoring and evaluation/self-reflection (Pebble Pad work)	**6:00-6:30** Monitoring and evaluation/self-reflection (Pebble Pad work)	**6:00-6:30** Monitoring and evaluation/self-reflection (Pebble Pad work)	
			8:30 Joint social event and dinner with project board (*)	

King's College London ESSA audit schedule (March 2019)

MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
	09.00-09.30 Briefing for the day	09.00-09.30 Briefing for the day	09.30-10.30 Briefing for the day Group evidence review	09.00-09.30 Briefing for the day
09.00-11.45 Welcome at Franklin Wilkins Building, G.80, Waterloo. Agenda for the week, getting to know each other and King's College London, tour of Waterloo Campus.	09.30-12.00 Evidence review Documentary evidence / group work Interview preparation	09.30-12.30 Interviews	10.30-13.00 Interviews Documentary evidence / group work	09.30-10.30 Mock run through of presentat 10.30-11.30 Final edits and run through of presentation [FWB 3.52] 11.30-12.00 Meeting with Vice President fo Service Initial findings review and resp [FWB 3.52]
11.45 - 13.00 Lunch [FWB G80]	12.30-13.30 Lunch [HRB 4.16]	12.30-13.30 Lunch/Travel to student focus group [FWB 1.17]	13.00-14.00 Lunch [FWB 5.132]	12.00-14.00 Lunch Presentation to key stakeholde Q&A [FWB 3.52]
13.00-16.00 Planning and preparing for the coming week Documentary review [FWB G80]	13.30 - 16.30 Interviews	13.30-14.30 Student Focus Group [Activity Room F, Floor 8, Bush House South East Wing, Strand Campus] OR Presentation and report work	14.00 - 17.00 Further evidence review Group review of findings Presentation drafting and practice [FWB 5.132]	14.00-16.00 Review of presentation and pla reporting Close and feedback from the w [FWB 3.52]
Guidelines for the Report Work [FWB G80]	16.30-17.00 Group review of evidence gathered Presentation and reporting Self-evaluation	14.30-17.00 Group review of evidence gathered Presentation and reporting Self-evaluation		
Spare Time	19.00 **Pub Quiz & dinner at the Vault, KCLSU Venue,** Basement, Bush House South East Wing.	Spare Time	Spare Time	Spare Time

Student auditor team building / ice breakers
Examples of face-to-face team-building exercises include:

National Union of Students / National Student Learning Programme, (undated), *A to Z compendium of training games* - http://www.studentvolunteeringnetwork.org/uploads/2/9/6/1/2961545/nslp_compendium_of_training_games.pdf

National Union of Students, (undated), *Training games, icebreakers and energisers* - http://studentopportunities.nus.org.uk/wp-content/uploads/2013/12/Training-games-icebreakers-and-energisers.pdf

Examples of virtual team-building exercises include:

Post a funny picture: Ask group members to share funny pictures from their week and explain how they came into being.

Geographic fun facts: Auditors are asked to share unusual fun-facts about the city/state/country they live in that aren't commonly known. This can be a good way to improve understanding of the location and cultural environment where the audit team comes from.

https://www.rapidstartleadership.com/virtual-team-building-ideas/

Simple virtual games: The following games can be used during video calls
- Charades: work in teams to guess each other's attempts to act out film, book or play titles.
- Draw the picture: Someone describes a picture; everyone draws what they hear and then shares what they've sketched.

Further tips for virtual ice-breakers can be found here:

https://miro.com/blog/wp-content/uploads/2017/06/Chapter_4.pdf

Group working resources
The following links offer advice for students when working in groups:

https://www.birmingham.ac.uk/schools/metallurgy-materials/about/cases/group-work/index.aspx

https://www.qub.ac.uk/directorates/sgc/learning/FileStore/Filetoupload,663685,en.pdf