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Corporate social responsibility in higher education: concept, content, improvement

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Submitted in fulfilment of the requirements of the Degree of
Doctor of Philosophy

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Abstract

This research aims to explore the key concepts, main content, and central areas of improvements in CSR in the HE sector. Regarding this, three research questions were formulated: (1) *What CSR activities are currently implemented in the HE sector?* (2) *What aspects of CSR should be covered in the HE sector from the stakeholders' perspective?* (3) *How can CSR performance be improved in the HE sector?* In research fieldwork, interview method was adopted for collecting data from 54 participants (incl. 17 HEI policymakers/executives, 17 academics, and 20 student representatives) from 20 different HEIs in China and in the UK. The data collected from these participants were analysed through thematic analysis in the forms of narrative text, thematic map, and statistical table.

By discussing the findings of the data analysis, contributions were made to both theoretical development and practice. The main theoretical contribution of this research was exploring what CSR means in HE context. Other theoretical contributions made by this research include identifying characteristics of CSR in the HE sector; adding 'instrumental aspects' and 'political aspects' to explain CSR in this sector; and specifying the linkage of SDGs with CSR in the context of HE. Practical implications were made in considering the aspects of CSR in the HE sector to better serve the interests of HEI's stakeholders. This involved taking a path to improvement of CSR performance in the HE sector, and developing CSR strategy in terms of managing the quality of CSR activities.

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Author's declaration

Author's declaration

I declare that, except where explicit reference is made to the contribution of others, that this dissertation is the result of my own work and has not been submitted for any other degree at the University of Glasgow or any other institution.

Printed Name: Sijin He

Signature:

Abbreviations

The following abbreviations are used in this thesis:

A:

AACSB = Association to Advance Collegiate Schools of Business

AC = Academic (n.)

AMBA = Association of MBAs

ARWU = Academic Ranking of World Universities

Athena SWAN = Athena Scientific Women's Academic Network

B:

BC = Before Christ

BRIC = Brazil, Russia, India, China

BSR = Business for Social Responsibility

C:

CD = Community Development

CED = Committee for Economic Development

CEO = Chief Executive Officer

CHN = China

COP26 = The 26th UN Climate Change Conference (COP = Conference of the Parties)

Covid-19 = Coronavirus Disease 2019

CR = Civic Responsibility

CSC = China Social Compliance

CSP = Corporate Social Performance

CSR = Corporate Social Responsibility

CSV = Creating Shared Value

CV = Curriculum Vitae

D:

DEI = Diversity, Equity, and Inclusion

DNA = Deoxyribonucleic Acid

E:

Abbreviations

EC = European Commission

EDU = Educator

EF = Environmentally Friendly

EFMD = European Foundation for Management Development

ESG = Environment, Society and Governance

EQUIS = EFMD Quality Improvement System

EU = European Union

G:

GRLI = Globally Responsible Leadership Initiative

H:

HE = Higher Education

HEI = Higher Education Institution

I:

ISO = International Organisation for Standardisation

L:

LEADS = Learning Enhancement and Academic Development Service

LGBTQ+ = Lesbian, Gay, Bisexual, Transgender, Queer (or Questioning), and others

N:

NGO = Non-governmental Organisation

NPO = Nonprofit Organisation

P:

PE = Policymaker/Executive

PhD = Doctor of Philosophy

PiC = Partners in Change

PRME = Principle for Responsible Management Education

3Ps = People, Planet and Profits

Q:

QS = Quacquarelli Symonds

Abbreviations

R:

RE = Responsible Employer

RG = Research Gap

RO = Research Objective

RQ = Research Question

RSS = Responsible Student Supporter

S:

SASAC = State-Owned Assets Supervision and Administration Commission of State Council

SCSR = Strategic Corporate Social Responsibility

SDG = Sustainable Development Goal

SER = Sociaal-Economische Raad (the Social and Economic Council)

SOE = State-Owned Enterprise

SR = Social Responsibility

STR = Student Representative

STU = Student

T:

TBL = Triple Bottom Line

THE = Times Higher Education

U:

UI = Universitas Indonesia

UK = United Kingdom (of Great Britain and Northern Ireland)

UN = United Nations

UNDP = United Nations Development Programme

UNESCO = United Nations Education, Science and Culture Organisation

UNFCCC = United Nations Framework Convention on Climate Change

UNGC = United Nations Global Compact

US News = U.S. News & World Report

USA = United States of America

W:

WBCSD = World Business Council for Sustainable Development

Abbreviations

Y:

YMCA = Young Men's Christian Association

Chapter 1: Introduction

This chapter begins by introducing the author's personal and academic motivations for conducting this research (Section 1.1). This is followed by statements about the research aim, inquiry, and corresponding objectives (Section 1.2). Section 1.3 then outlines how the main content of this thesis is organised.

1.1 Motivation for doing this research

A researcher's motivations are important for completing their long journey of research activity. The author's motivation has two components: personal motivation and academic motivation. There may be doubts about whether personal motivation can be used to justify the importance of a research project. However, on the one hand, PhD research is expected to contribute to not only academic development but also the development of the PhD candidate and his or her career. This personal and professional development is connected to the author's personal motivation for doing this research; On the other hand, compared with academic motivation, personal motivation is more intrinsic; therefore, it has more influence on a PhD candidate's attitude, supporting him or her to maintain a positive outlook towards their research activities.

1.1.1 Personal motivation

Although the concept of corporate social responsibility (CSR) has existed for around 70 years, the author encountered it for the first time when writing his master's dissertation, entitled "CSR and performance measurement". The Chinese philologist Ku Yen-wu said "保天下者，匹夫之賤與有責焉耳矣", which is translated into English as "whether a nation stands or falls depends on ordinary citizens" and calls for individual citizens to take national responsibility. This motto has a strong influence on the author's personal values and is associated with CSR. As a result of this coincidental intersection of the author's personal values and his interest in CSR, the author has been motivated to continue pursuing the academic study of CSR since completing his master's dissertation 6 years ago.

The author's motivation for researching CSR is specific to the higher education (HE) sector. The author was born and raised in a country that was strongly influenced by Confucian culture during his early life. This culture emphasises the development of education as an important aspect of constructing a society, especially the "harmonious society" which is rooted in the Confucian thought of "大同" (translated into English as "Great Harmony"). Therefore, the author believes that education makes an important

contribution to society. This is especially true of HE: as a higher level of education, it can make a bigger social contribution, which is consistent with the pursuit of CSR. To maximise the social contribution of HE, CSR can be applied (as a mindset) in the HE sector. Given these considerations, the author is planning to build a career in teaching and researching CSR in a university whose vision emphasises SR. Therefore, the author's personal motivation to research CSR in the HE sector combined a sense of alignment with his personal values and his desire to take an important step in his path towards a future career.

1.1.2 Academic motivation

The importance of CSR in HE is receiving increasing attention from academics. At the Association of Commonwealth Universities Conference of University Leaders 2016 (Weiss, 2016), delegates addressed the statements that “universities cannot be sustainable without being socially responsible” and “if we're not socially responsible, then there is no future for our universities”. In addition, the concept of ‘university social responsibility’ (USR) has been introduced. However, this concept is still at the embryonic stage in academia, and the relevant existing research prefers to borrow the concept of CSR from the business world. This preference can be justified by the advances of the CSR-related research in the business context, which, as mentioned previously, extends over seven decades. Linked with the author's personal motivation for doing this research, the author's research contribution is expected to be at the sectoral level, i.e. that of the HE sector. The research is focused on public universities. This choice was driven by practical considerations regarding the feasibility of conducting fieldwork within the limited timeframe of one year. In Section 8.5, point (a), expanding research to include other types of higher education institutions (HEIs), particularly private universities, is included as one of the suggestions for further research on the topic.

Through the literature review, four research gaps have been identified that need to be addressed in the context of CSR in the HE sector: (1) a lack of development of a tailored concept of CSR in the HE sector; (2) knowledge on possible distance between the actual practices and stakeholders' perceptions of CSR in the HE sector; (3) a research-based approach to improving CSR in the HE sector; and (4) a lack of linkage of CSR performance in the HE sector with SDGs. Addressing these research gaps is crucial for ensuring a (sustainable) future for the HE sector.

Carroll and Brown (2018, p.50) have noted that sustainability has started to be used interchangeably with CSR. The literature review confirms that the concept of sustainability, initially defined by the United Nations in 1987 with a focus on natural environment, gained popularity in the 1990s. A key figure in this field is John Elkington, who advocated for a focus on people, planet and profit, and introduced sustainability in three dimensions (economic, social and environmental) (Elkington, 1994, 1997). In the realm of

sustainability, CSR, ESG, and SDGs are included. Keinert's (2008) work on CSR conceptualisation encompasses the concepts in these regards, such as corporate sustainability, corporate governance, and corporate citizenship, which are debated as different CSR-related concepts. Despite being considered "the least 'meaningful' concept in the field of business and society research", CSR is deemed the most comprehensive term when it comes to conceptualising (Keinert, 2008, p.38). Thus, in order to achieve a more comprehensive understanding in this research, CSR was chosen to be focused on while ESG (see Section 7.3.6) and SDGs (see Section 7.4) are also linked.

Although universities do not represent all types of institutions in the HE sector, the literature demonstrates that universities have been widely used for CSR-related research in HE and that they have played an important role in the development of HE throughout history. Therefore, the university can be considered a wise choice for starting to understanding the meaning of CSR in the HE sector. A question that follows this is which universities should be included in research on this subject. Following debates about "CSR and the public sector" (Crane et al., 2014), it has been recognised that CSR exists in universities. However, based on the author's review of the literature, he agrees with Visser's (2016) opinion that the knowledge of CSR is Western-dominated. Specifically, the author reviewed CSR-related literature of India (a country formerly colonised by the West) and that of China (a country formerly semi-colonised by the West). The literature demonstrates that in both of these countries, the development of CSR differs from its development in Western countries.

These considerations motivated the author to expand the understanding of CSR in the HE sector by conducting research in public universities in both the West (by focusing on the UK) and other parts of the world (by focusing on China). Choosing China as a country context links with the author's personal motivation – the influence of Confucianism. Including the Chinese context in the fieldwork can also contribute in de-Westernising the existing knowledge of CSR. This de-Westernisation necessitated the author to strike a balance when selecting country contexts for this research, specifically choosing both non-Western and Western countries. For non-Western country contexts, both India and China were potential candidates. This selection was based on the differences in economic development and the role of the public sector in promoting CSR compared to Western countries. Considering the varying degrees of Western influence on CSR growth in India and China, coupled with practical considerations, China was deemed a more suitable country context for this research. For Western country contexts, both the UK and the USA were viable options due to their significant contributions to CSR development. Ultimately, the UK was chosen, primarily due to practical reasons. The rationale for selecting these country contexts will be further elaborated in Section 3.3.1.

1.2 Research aim, research questions and research objectives

Motivated by narrowing the gaps identified in the research on CSR in HE, the author designed this research to explore the key concepts, main content, and central areas of improvements in CSR in the HE sector. Three research questions (RQs) were developed, each with the purpose of achieving a research objective (RO):

RQ1: *What CSR activities are currently implemented in the HE sector?*

RO1: To understand current CSR practices in the HE sector.

RQ2: *What aspects of CSR should be covered in the HE sector from stakeholders' perspective?*

RO2: To explain CSR practices in the HE sector from the perspective of relevant stakeholders.

RQ3: *How could CSR performance be improved in the HE sector?*

RO3: To explore approaches to improving the performance of relevant CSR practices in the HE sector

1.3 Organisation of this thesis

This thesis is divided into eight chapters. The following overview describes how the thesis is structured at the level of each chapter.

- **Chapter 1: Introduction** (as presented in this chapter).
- **Chapter 2: Literature review.** In this chapter, the review starts with an overview of how the developmental phases of CSR have been divided by different scholars. This is followed by a chronological presentation of the CSR-related literature from the time before the 1950s to several periods from the 1950s onwards in order to provide a deeper understanding of the overall development of CSR and the specific topics that were debated in each of these periods. The literature on CSR research in India and in China is then reviewed to provide a brief understanding of CSR in country contexts outside the Western world. The chapter then presents a review of the literature on the development of HE and its relation to SR, USR, and CSR in HEIs in order to understand the existing research on CSR in the HE sector.
- **Chapter 3: Methodology.** This chapter begins by returning to the three research questions. This is followed by an analysis of the orientation of this research, which underpins the research design. The outcome of this analysis explains the author's choices about the sample used (HEI policymakers

and executives, academics, and student representatives in HEIs in China and in the UK), the research method (semi-structured interviews), and the related practices followed, including recruiting interview participants, upholding research ethics, designing the interview questions, and the interviewing and transcribing processes. The chapter then describes the analytical method that was applied to the collected data, which is based on Braun and Clarke's (2006) framework for conducting thematic analysis – familiarising yourself with your data, generating initial codes, searching for themes, reviewing the themes, defining and naming themes, and producing the report – and examples of the data analysis are provided. This chapter ends with an evaluation of the research using Lincoln and Guba's (1985) criteria: credibility, transferability, dependability and confirmability.

- **Chapters 4, 5 and 6: Data analysis and findings.** Due to the large amount of content, the data analysis and findings are presented in three separate chapters, each of which focuses on one research question. In each of these chapters, thematic maps relating to the research question are presented at the macro, meso and micro levels. The thematic maps at the macro level show the research question and its corresponding themes only, while the meso-level maps include the sub-themes and the micro-level maps include a sub-theme with all (sub-)codes under it. Each chapter ends with a summary that includes a mega-thematic map that contains all the themes, sub-themes, codes and sub-codes that are relevant to the research question. Each code and sub-code is described in the narrative text, but only those mentioned most frequently by the interviewees are presented in the relevant maps; this avoids presenting an overlarge number of images in the main body of the thesis. In this regard, statistics for the sub-themes and (sub-)codes are summarised in tables at the beginning of each section.
- **Chapter 7: Discussion.** The findings of the analysis presented in Chapters 4, 5 and 6 are discussed in order of the three research questions. Under each research question, the discussion of each (sub-)code aims to engage with the literature to identify how the research findings respond to the existing research. Each section of this discussion is summarised by engaging with a main source. Specifically, the discussions of the findings for research questions 1, 2 and 3 are summarised by referring to Crane et al.'s (2014) core characteristics of CSR, Garriga and Melé's (2004) categorisation of the main areas of focus in current CSR theories, and the methodology used by THE Impact Rankings (THE, 2022) to measure performance related to the United Nations Sustainable Development Goals, respectively.

- **Chapter 8: Conclusion.** The concluding chapter begins with a recap of the first seven chapters. It then presents the conclusions on the theoretical contributions of this research, the practical implications, and research limitations. The chapter then considers avenues for further research and provides a reflection of the PhD journey of the author himself.

Chapter 2: Literature review

2.1 Introduction

The literature review on the evolution of CSR was conducted by following the six steps outlined below (also see Figure 2-1):

Step One – Reviewing the existing literature focusing on the evolution of CSR: Before delving into an extensive literature review, the author sought an overview of CSR by reviewing four key publications. These included the book *Corporate social responsibility: readings and cases in a global context* (Crane et al., 2014), the article “A history of corporate social responsibility: concepts and practices” (Carroll, 2008), the article “A literature review of the history and evolution of corporate social responsibility” (Latapí Agudelo et al., 2019), and the article “Evolution of corporate social responsibility: two sets of explanation” (Mishra, 2019).

Step Two – Understanding the existing concepts of CSR: To develop a coherent storyline for the literature review, the author aimed to enhance his understanding of CSR as a necessary function. This was achieved by studying the chapter “CSR conceptualisation” (Keinert, 2008) and the chapter “Corporate social responsibility: a review of current concepts, research, and issues” (Carroll and Brown, 2018).

Step Three – Searching the existing literature on CSR concept(-ualisation) and extracting relevant content: After reviewing the aforementioned publications, the author conducted CSR-related literature searches by using Google Scholar, Emerald, Elsevier, and Web of Science. In addition to the sources previously identified, the author conducted his searches with the use of relevant keywords. To begin with, “CSR concept” and “CSR conceptualisation” were used to search relevant literature.

Step Four – Reviewing the literature (if any) where the extracted content was cited: In cases where the extracted content was referenced from other works, those sources were reviewed to gain a deeper understanding of the original context.

Step Five – Conceptualising the extracted content and putting the content into different groups: The extracted content was conceptualised into distinct themes based on the author’s comprehension of CSR concepts obtained from Step Two. The extracted content under the same theme was grouped together, and these extracted content groups were then organised chronologically.

Step Six – Naming different groups of extracted content: Once the extracted content groups were organised, each was given a name that effectively conveyed a story intended by that group. These “names” contributed to the overall storyline of the evolution of CSR.

Overall, this approach offers insights into the author’s understanding of the literature review on the evolution of CSR.

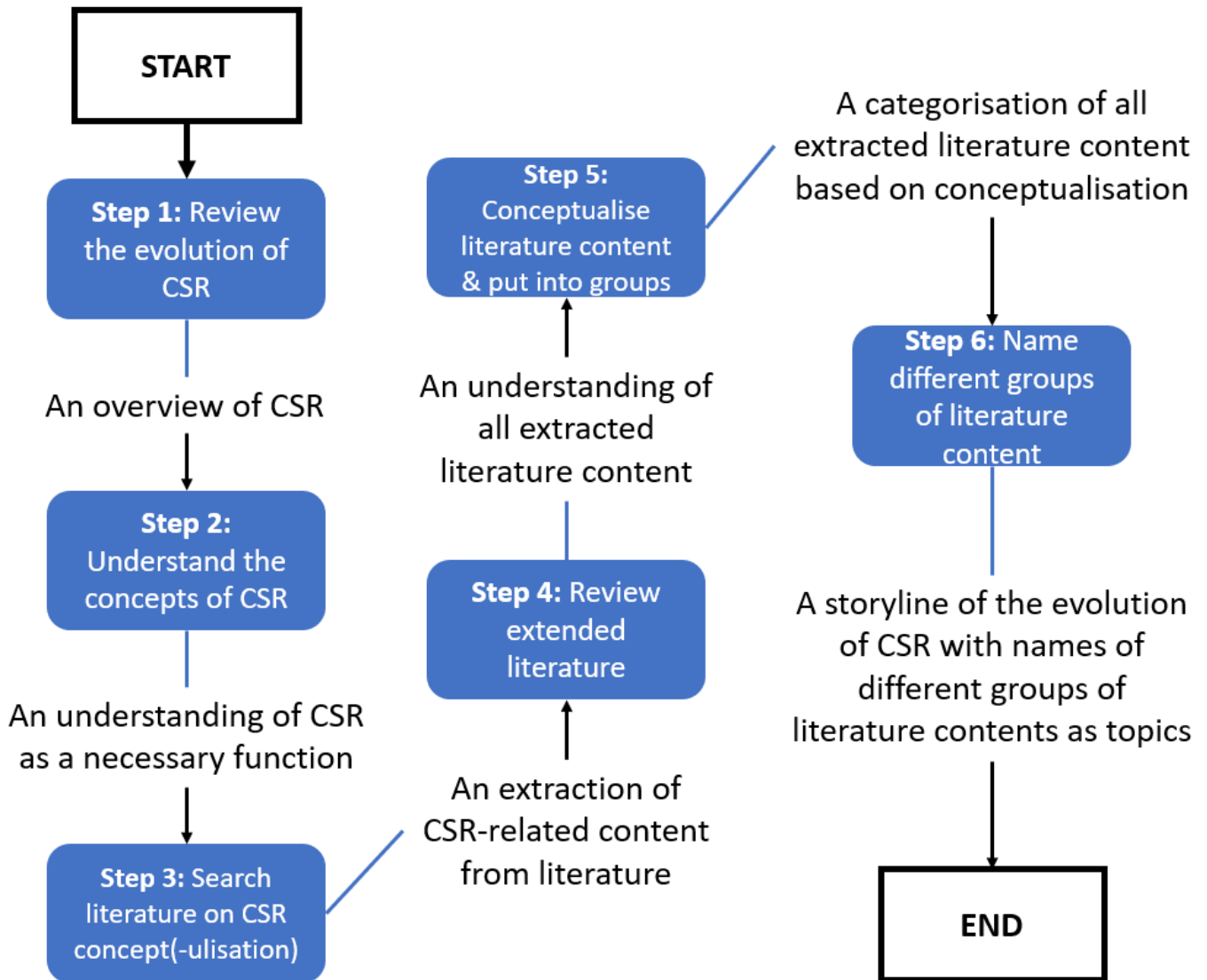


Figure 2-1 Reviewing the literature for narrating the evolution of CSR

In terms of reviewing the literature on CSR in the HE sector, to start with, the author understood the concept of CSR, followed by understanding the evolution of HE, with a focus on looking for connections between HE and CSR. The understanding of the evolution of HE was mainly contributed from the publication *Beyond the university: higher education institutions across time and space* (Ellis, 2020).

In this chapter, two main themes are reviewed and discussed: first, the evolution of CSR (Section 2.2); second, CSR in the context of HE (Section 2.3). Section 2.4 provides a summary of this chapter. The topics related to CSR improvement are incorporated throughout the literature review.

2.2 Overview of the evolution of CSR

The development of CSR has been chronicled by several scholars. Although some overlap is unavoidable, a classification of the periods of the development of CSR is presented in Section 2.2.1. In Section 2.2.2, the focus is on the period before the 1950s. The rest of the sections each focus on a subsequent period and respond to a particular question through a review of the relevant literature. Following this, given that the literature related to CSR is dominated by the Western world, Section 2.2.9 outlines the development of CSR in other country contexts, including those of India and China.

2.2.1 Developmental history of CSR: a brief comparison of the work from different scholars

Several authors (Carroll, 2008; Latapí Agudelo et al., 2019; Mishra, 2019) have reviewed the developmental history of CSR (see Table 2-1). In one of the earliest reviews, Carroll (2008) outlined the history and the evolution of CSR concepts and practices; this was followed by a review by Latapí Agudelo et al. (2019). Both of these reviews respond to the evolution of CSR in the context of a developed country (the USA). Therefore, as argued by Mishra (2019), despite the exhaustiveness and comprehensiveness of the reviews, the research might have a limited application in context of developing countries. Although Mishra's (2019) classification highlights the importance of the country context in the debate on CSR, India, as one of the 'BRIC' economies, is included in the category of a "developing country" by Mishra but as an "emerging/transitional economy" by Crane et al. (2014, pp.16–20). A distinct difference can be observed in how Carroll (2008) and Latapí Agudelo et al. (2019) classify the period of CSR in the global context: the 2000s in Carroll's (2008) classification vs. the 1990s in Latapí Agudelo et al.'s (2019) classification. Among these classifications, Mishra's (2019) is the simplest and the most understandable. Overall, all of these classifications have a similar outlook.

Author	Chronological classification
Carroll (2008)	<ul style="list-style-type: none"> • Social initiatives and practices prior to 1950 • CSR takes shape in the 1950s • CSR concepts and practices proliferate in the 1960s • CSR accelerates in the 1970s • Complementary themes to CSR ascend in the 1980s • CSR serves as basepoint for complementary themes in the 1990s • The twenty-first century: refinements, research, alternative themes, management practice, and global expansion
Latapí Agudelo et al. (2019)	<ul style="list-style-type: none"> • Historical roots of social responsibility • 1950s and 1960s: the early days of the modern era of social responsibility • 1970s: CSR and management • 1980s: the operationalisation of CSR • 1990s: globalisation and CSR • 2000s: recognition and implementation of CSR • 2000s: strategic approach to CSR • 2010s: CSR and the creation of shared value
Mishra (2019)	<p>Evolution in a developed country (USA):</p> <ul style="list-style-type: none"> • Up to 1950: Phase I – conceptualisation • 1950–1979: Phase II – introduction • 1980–2000: Phase III – growth • 2001 onwards: Phase IV - consolidation <p>Evolution in a developing country (India):</p> <ul style="list-style-type: none"> • Up to 1960: Phase I – conceptualisation • 1961–2009: Phase II – introduction • 2010 onwards: Phase III – growth

Table 2-1 Developmental history of CSR

2.2.2 Before the 1950s: the embryo of CSR

In terms of chronological order, there is a consensus among a substantial number of scholars that the 1950s mark the birth of CSR as it is conceptualised today. Regarding this, Evans et al. (2013, p.9) stated that “while the concept of SR was not formally defined until the mid-twentieth century (e.g. Bowen, 1953), the seeds of SR emerged thousands of years ago...”. It is interesting to ask: *What does the embryo of CSR look like?* In other words, what underpins CSR? We can explore this by reviewing the chronology of the development of CSR identified by Carroll (2008), Latapí Agudelo et al. (2019), and Mishra (2019). Between them, these authors looked at relevant history from the 1800s onwards and consider the Industrial

Revolution to be the main development that underpins CSR. However, by considering Evans et al.'s (2013, p.9) mention of “thousands of years ago”, studying the history of the Industrial Revolution as a starting point is far from understanding the embryo of CSR at all. Evans et al. (2013) consider the Code of Hammurabi, drafted in 2250 BC, to be an ancestor of SR, while Latapí Agudelo et al. (2019) mention the laws of Ancient Rome as the starting point. Both of these starting points implied a relation of ancient legal codes to SR. Meanwhile, as stated by Mishra (2019), it is necessary to track the philosophical debate about business as a moral institution by considering the ideas of Plato, Aristotle, Kant and Marx, among others. The question of whether CSR can be applied in the HE sector is subject to debate, considering its origin in the business world. However, through a review of the evolution of CSR, tracing back to the Ancient World, a clear connection between the ancestor of CSR and the ancestor of HEIs emerges (see Section 2.3.1). Noticing this connection is important to appreciate the relevance and the applicability of CSR in the HE sector. It further suggests adopting the perspective of HE when researching CSR. Alternatively, it proposes adopting the CSR perspective when researching the HE sector.

By considering Visser's (2016) contribution to the debate about the future of CSR, it can be observed that the development of CSR concepts and operations is dominated by the West. Therefore, despite the mention of the Code of Hammurabi (the governing territory of which is located in the Middle East), a better starting point is to look at the growth of embryonic CSR in the Western world. As for the philosophers exemplified by Mishra (2019) a tighter connection can be seen between the Industrial Revolution and the birth of CSR, that is the era of Kant and Marx.

Williams (2017, p.632) commented that “Kant and Marx are both strongly focused on the improvement of the human being”. In this sense, their outlook on the business as a moral institution is clear: being moral in business can contribute to improving ourselves as humans. Considering that Kant was one of the central thinkers of the Enlightenment and Marx was one of the main contributors to Communism – which traces its intellectual heritage to the Enlightenment of the eighteenth century – taking the Enlightenment into consideration is an appropriate way to appreciate their debate about business as a moral institution. According to Ellis (2020, p.748), the eighteenth century was *one of the most significant periods of development and transformation in the history of human knowledge*. For example, Thomas Hobbes, John Locke, and Jean-Jacques Rousseau brought forward contrasting views on human nature and the role of the government, dealing with the different theories related to human nature were emerged from the Enlightenment (Munro, 2021); therefore, the moral sense of humans was a topic of exploration, and the idea of the ‘moral institution’ personalised the institution by attributing it with a human moral sense. Regarding this, Adam Smith, an important philosopher of the Scottish Enlightenment, wrote in *The Theory of Moral Sentiments*, “Man naturally desires, not only to be loved, but to be lovely.” (Smith, 1759, p.102)

If a business is a moral institution, it naturally desires to be loved by others – its employees, its customers, even the public and society at large – and loves them in return.

Regarding the Industrial Revolution, Carroll (2008, p.21) stated that a management historian named Daniel A. Wren had highlighted the social problems that emerged in the UK's factory system in this era, especially regarding the employment of women and children. The appearance of social problems led businesspeople to show more concern for (their) employees by introducing welfare and, later, by practising philanthropy. All these practices contributed to the development of the human being. Despite the occurrence of social problems, considering that all these practices added to their costs, it is interesting to understand what motivated these businesspeople (whose main concern was business) to do something good (ethically correct) in a period when CSR did not exist.

The concern for employees and the subsequent philanthropic efforts can be explained by the Christian religious philosophy and approach to the abiding social context and, later, social reform and Victorian philanthropy. According to Harrison (1966), during the eighteenth and nineteenth centuries, the mentioned Christian religious philosophy and approach was adopted to respond to the moral failure of society; This philosophy and approach gave way to social reforms and to the Victorian philosophy. Victorian Philanthropists were given a high level of idealism and humanism based on the religious roots of Victorian social conscience (Carroll, 2008; Harrison, 1966), which can be referred to the Christian religious philosophy and approach mentioned above. Therefore, even though the power of religion was weaker at the time of Renaissance Humanism (from the fourteenth century to the seventeenth century), it can be seen that, during the eighteenth and nineteenth centuries, religion still had an impact on businesspeople's behaviour in terms of doing something good (for society). It can be concluded that in part, the religious culture and traditions in Europe motivated businesspeople to do something good at the time of the Industrial Revolution (about 1760 - 1840).

The Industrial Revolution and the Enlightenment both began in Europe. The reason they are discussed here under the topic of "Western" culture at large is their influence on the USA; the American Civil War was influenced by the Industrial Revolution, and the USA's Enlightenment was influenced by the (European) Enlightenment. These influences imply that an embryonic version of CSR was brought from Europe to the USA. Carroll (2008, p.22) pointed out that two early programmes highlighted by Heald (1970) appear to be connected with the development of SR in the USA: The first programme is an excellent example of paternalism manifested in the Pullman experiment. A model industrial community was created by George M. Pullman (an American industrialist) in southern Chicago. This community was testified to Pullman's genuine interest in improving living conditions for his employees and their families and creating an

improved capacity for attracting and retaining his employees; The other programme is the YMCA (Young Men's Christian Association), which was established in London in 1844 and rapidly spread to the USA; the YMCA was supported by not only individuals but also companies, and they were closely associated with a growth in company giving for community-related welfare movements and social programmes before World War I. Carroll (2008) also mentioned Eberstadt's (1973) observation that charters of incorporation from the late 1800s in the USA favoured businesses that were "socially useful". The social usefulness of a business can be interpreted by its welfare and philanthropic practices, as mentioned above. However, these charters were abused by being made available for any business and were almost impossible to revoke. Finally, many of the large corporations had the power of governments – their centralised economic power raised up "a corporate ruling class with almost limitless power" (Carroll, 2008, p.23), which led to a series of disastrous effects such as the Great Depression. According to Hay and Gray (1974), it was in this period (1920s–1930s) that the development of (embryonic) SR moved from the "profit maximising" phase into the "trusteeship management" phase, leading to two major trends: (1) the mounting diffusion of stock ownership; and (2) a gradually more pluralistic society (cited in Carroll, 2008, p.23). In the trusteeship management phase, managers were not seen as merely corporate agents but became the trustees for a variety of groups which are related to the business.

Despite this shift, the development of (embryonic) SR in corporations can be understood to have maintained a close relationship with that which (economically) benefited them. The beneficiaries of corporations' socially responsible initiatives during this period "were primarily related to World War I" (Carroll, 2008, p.24), such as the YMCAs, as mentioned previously. Similarly, in the late 1930s, the beneficiaries were connected to World War II. Drawing on Eberstadt's (1973) work, the contributions made by corporations during this period can be understood to have played a role in serving the war effort (in the nation they were in), such as by taking an anti-Communist stance. From a wider viewpoint, as government-like institutions, the corporations had social obligations to fulfil in the increasingly "corporate period" (Eberstadt, 1973, p.22).

2.2.3 The 1950s–1970s: early arguments for CSR – do social responsibilities exist in business?

As stated at the end of Section 2.2.1, corporations in the USA have been seen as having social obligations since around the time of World War II. This recognition may explain Carroll's (2008) mention of a poll of business executives that was held by *Fortune* magazine in 1946 and surveyed them on their social responsibilities. The poll can be understood as considering the social responsibilities of businesspeople at that time. Do social responsibilities exist in business? Today, many of us say "yes" without any hesitation. However, from the 1950s to the 1970s, this was an important debate in the USA. The following subsections

review the literature considering the supporters and the opponents of the argument that social responsibilities exist in business. It is worth noting that Carroll (2008, p.26) referred to the 1950s as a decade of “more ‘talk’ than ‘action’” in terms of CSR. The main “talk” on CSR in the 1950s is about whether social responsibilities exist in business.

2.2.3.1 Supporters of the existence of social responsibilities in business

The concept of SR was formally defined in the 1950s (Evans et al., 2013). The economist Howard R. Bowen proposed the first definition of CSR (Carroll, 2008; Chakraborty and Jha, 2019; İyigün, 2015; Mishra, 2019); therefore, he is referred to as the father of CSR (Carroll, 1999; Moon and Vogel, 2008). Bowen thought that the decision-making behaviours of the businesses have a power which may influence their action and make an impact on society (Evans et al., 2013). Bowen defined CSR in the publication of his seminal book (Carroll, 2008, p.25) entitled *Social Responsibilities of the Businessman* (Bowen, 1953), in which he defined these responsibilities as “the obligations of businessmen to pursue those policies, to make those decisions, or to follow those policies, or to follow those lines of actions which are desirable in terms of the objectives and values of our society” (p.6). At this early stage, CSR was described as something that is beneficial for business rather than something that makes a significant contribution to solving problems in business and society (Evans et al., 2013).

Another notable supporter during this period is Keith Davis, who concluded that taking on social responsibility as businesspeople starts with finding feasible solutions that are related to “the nature and extent of their own social responsibilities” (Hishan et al., 2017, p.9288). According to Davis, as business solutions to social issues had not been discussed in academia, a substantial number of businesses seemed to get lost and were seeking guidance on how to address these issues (Evans et al., 2013). Davis (1960) pointed out that “the social responsibilities of businessmen need to be commensurate with their social power” (p.71), which goes beyond an economic or technical interest and, furthermore, is about the social benefits in combination with the traditional economic gains being sought by a firm (Mishra, 2019). Similar to expectations of individuals, businesses are expected to obey a set of culturally accepted behavioural norms established in society (Davis, 1973).

Other important supporters during this period, according to reviews of the relevant literature (Carroll, 2008; Isa, 2012; Jamali and Mirshak, 2007; Mishra, 2019), include Frederick (1960), who defined CSR as the willingness of a business to consider the use of human and economic resources for broad social ends rather than in the narrowly circumscribed interests of private individuals and companies; and McGuire (1963), who believed that CSR is about the responsibilities that organisations take on beyond meeting economic

and legal expectations and towards society. Another supporter, Walton (1967), presented a preference for voluntarism rather than coercion in CSR. Eels and Walton (1974, p.247) described the trend of CSR at that time as “supporting and improving that social order”. Heald (1970) suggested that businesspeople were significantly preoccupied with corporate philanthropy and community relations during the period between 1900 and 1960; and Johnson (1971) mentioned about “socially responsible firm” in his description of the term ‘conventional wisdom’ (Carroll, 2008, p.29). The Committee for Economic Development (CED) (1971, p.16) proposed that “the quality of management’s response to the changing expectations of the public” was important for the future of business, and articulated the notion of social responsibility as encompassing an inner circle (relating to the efficient execution of the economic function), an intermediate circle (relating to a sensitive awareness of changing social values and priorities in exercising the economic function) and an outer circle (relating to wider involvement in actively improving the social environment). Meanwhile, Steiner (1971) extended the meaning of CSR and the circumstances under which it might be interpreted and applied; Votaw (1973, p.11) commented “The term [social responsibility] ... means something, but not always the same thing, to everybody”; Preston and Post (1975) attempted to move from the concept of CSR to the notion of public responsibility; and Sethi (1975) discussed three dimensions of CSP: social obligation, social responsibility and social responsiveness. Bowman and Haire (1975) sought to operationalise CSR by measuring the proportion of lines of text related to the topic of social responsibility in the corporate annual reports they studied; Holmes (1976) sought to quantify executive perceptions of CSR and (in 1978) identified popular CSR causes in relation to companies; and Keim (1978) analysed the enlightened self-interest model of CSR. In addition, it should be noted that McGuire’s (1963) opinion was challenged by Davis and Blomstrom (1966), arguing that the character of individuals makes a significant contribution to SR. The contribution of Carroll in 1979 is not mentioned here, as it is covered in Section 2.2.4.

2.2.3.2 Opponents of the existence of social responsibilities in business

Contrary to Bowen, Davis, and other scholars who adopted the attitude that responsibilities towards society do exist in business, there were opposing voices at the same time. The argument made by one of the main opponents – Levitt (1958) – has been criticised by Simon et al. (1972, see also *Economist*, 2005 for the same false dichotomy) for incorrectly distracting CSR away from business by falsely juxtaposing affirmative duties (of business) with profitmaking (Idemudia, 2008). Specifically, Levitt (1958) argued that a corporation has **only** (highlighted by the author) two responsibilities: One is “to engage in face-to-face civility such as honesty and good faith”; The other is “to seek material gain”. In this context, profit maximisation in a long run was argued to be “the one dominant objective of business, in practice as well as theory” (Levitt, 1958, p.49). Levitt (1958) considered that, through occasional philanthropy, large corporations use CSR as a defensive strategy to avoid attacks from stakeholders, and this leads the business

to lose its profit-making focus; for Levitt, such social issues and welfare were the responsibility of the government, rather than the responsibility of business (Hishan et al., 2017).

One of the leading scholars of the Chicago School, Friedman, further highlighted the main objective in Levitt's (1958) argument as the *only* responsibility of corporation to its owners and shareholders (Friedman, 1962); in other words, Friedman was describing a shareholder approach to maximising profit (İyigün, 2015). Further, Friedman considered CSR to be a socialist practice and “fundamentally subversive” to free enterprise (Evans et al., 2013; Hishan et al., 2017). Overall, Friedman (1970) argued that the “business of business is to do business” (Chakraborty and Jha, 2019; Mishra, 2019). This sole responsibility (Friedman, 1962, 1970) is described as encompassing providing jobs, offering goods and services to meet consumers' demands, paying taxes, making a profit, complying with the minimum legal requirements for operations, and engaging in open and free competition without deceiving or defrauding others (Galbreath, 2006).

2.2.4 The end of the 1970s: what should CSR be like?

Even though there might still be scholars who deny that CSR exists in business, 1979 marked a turning point when the concept of CSR became explicit. Since then, the topic of CSR has been discussed more and more widely. Key to this turning point was Carroll's (1979) three-dimensional conceptual model, which is introduced in the following section. This model has been developed further, and these developments are also represented.

2.2.4.1 CSR – A three-dimensional conceptual model

Carroll's (1979, see Figure 2-2) conceptual model of corporate performance was one of the first conceptualisations of CSR (Galbreath, 2009; Matten and Crane, 2005). Furthermore, the model has been identified as “the most widely used classification framework [of CSR]” in research by Prasad and Kumar (2022, p.2075). Carroll developed this conceptual model in relation to corporate performance as a response to three questions: (1) “*What is included in corporate social responsibility?*”, (2) “*What are the social issues the organisation must address?*”, and (3) “*What is the organisation's philosophy or mode of social responsiveness?*”

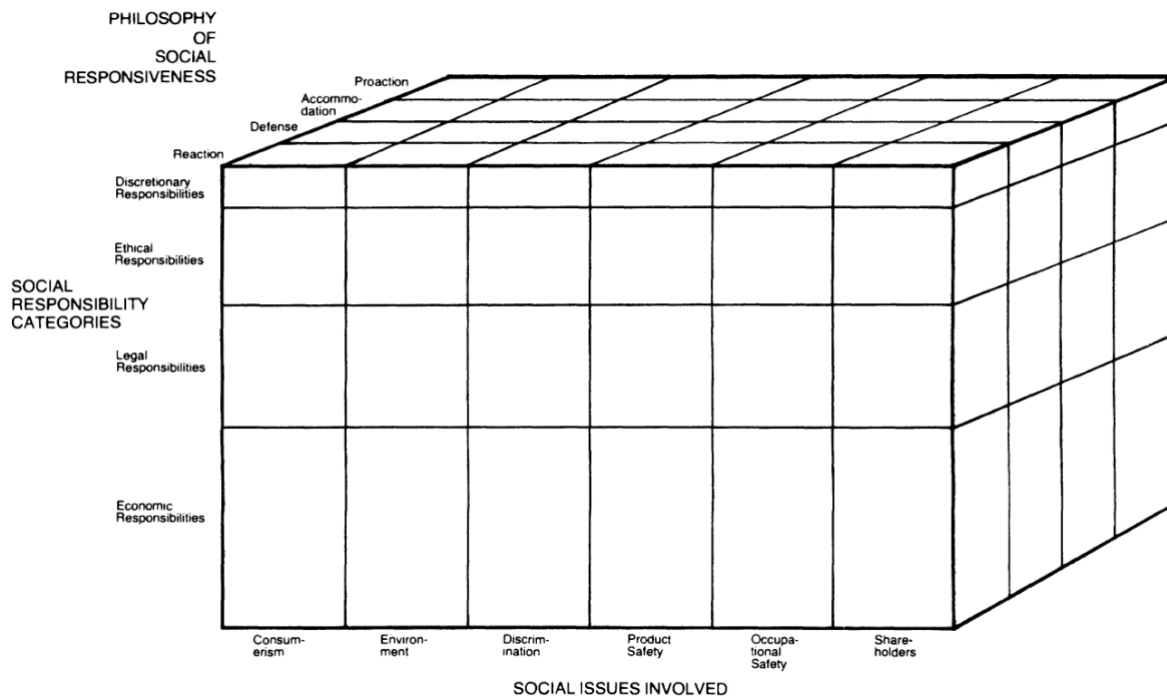


Figure 2-2 The corporate social performance model (Carroll, 1979)

The responses to these questions are: (1) there are four domains of CSR – economic, legal, ethical and philanthropic; (2) five main social issues should be addressed – consumerism, environment, discrimination, product safety, occupational safety and shareholders; and (3) pro-action, accommodation, defence and reaction are four modes of corporate social responsiveness (Mishra, 2019). According to the review of the literature by Latapí Agudelo et al. (2019), Carroll’s (1979) model makes two main contributions. One is the first unified definition of CSR: “The social responsibility of business encompasses the economic, legal, ethical, and discretionary expectations that society has of organisations at a given point in time” (Carroll, 1979, p.500). The other is a shift from viewing the business’s economic objectives and social objectives as incompatible trade-offs towards considering both types of objectives as integral parts of the business framework of total social responsibility (Lee, 2008). The business’s social objectives were similarly described as a societal obligation of a corporation which cannot not be met through its objective of being profitable (Chakraborty and Jha, 2019).

2.2.4.2 The continuing development of the three-dimensional conceptual model of CSR

Approximately ten years after the conceptual model was developed, it was adapted to provide a hierarchical visualisation in the form of a CSR pyramid (Carroll, 1991, see Figure 2-3). Although the four domains of CSR were presented in the three-dimensional conceptual model, the CSR pyramid was the first attempt to classify CSR actions (Morales-Parragué et al., 2022), which include “be profitable”, “obey the law”, “be ethical”, and “be a good corporate citizen” (Carroll, 1991, p.42) from bottom to top. The order of four

components, can be explained by Carroll’s (1991, p42) description of economic performance that “undergirds all else”, implying that the component on the bottom undergirds the component on its top. Furthermore, the revision of this conceptualisation implies that CSR embraces additive or aggregative responsibilities (Jamali, 2008), including mandatory and socially required responsibilities (economic and legal responsibilities), socially expected responsibility (ethical responsibility), and socially desired responsibility (philanthropy) (Windsor, 2001). However, in this work, it was accepted that delineating the “social” is a principal difficulty of defining CSR, possibly leading to the outcome that the responsibilities are entirely internal and respond to the needs of employees only (Farrington et al., 2017).

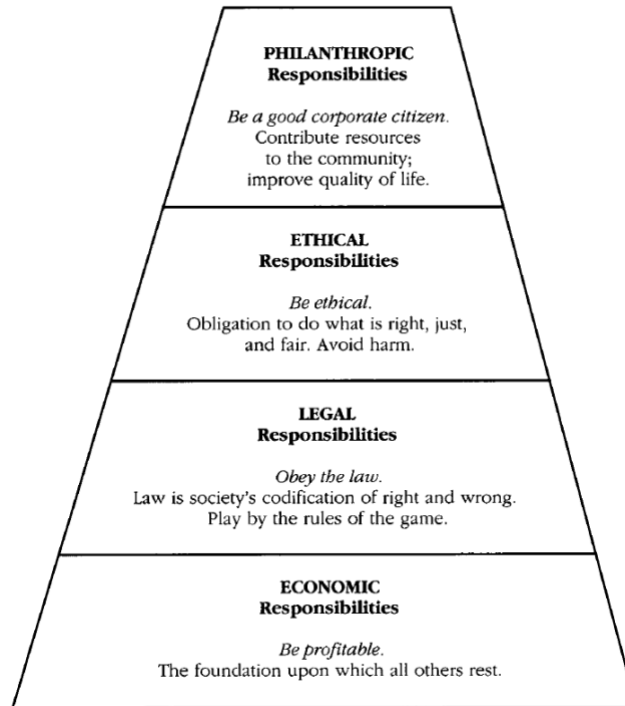


Figure 2-3 The pyramid of CSR (Carroll, 1991)

Rather than the four domains presented in the CSR pyramid (Carroll, 1991), Schwartz and Carroll (2003, see Figure 2-4) introduced a three-domain approach, which considers the overlapping nature of the CSR domains. It subsumes philanthropy under the ethical and/or economic domains, implying that different motivations may exist in philanthropic responsibilities; it also suggests that among the economic, legal and ethical domains there is no domain that is more important or significant than the others (Palakshappa and Grant, 2017). Additionally, Carroll’s (1979) definition of CSR was reclassified by Lantos (2001) into three groups, including ethical CSR, altruistic CSR and strategic CSR.

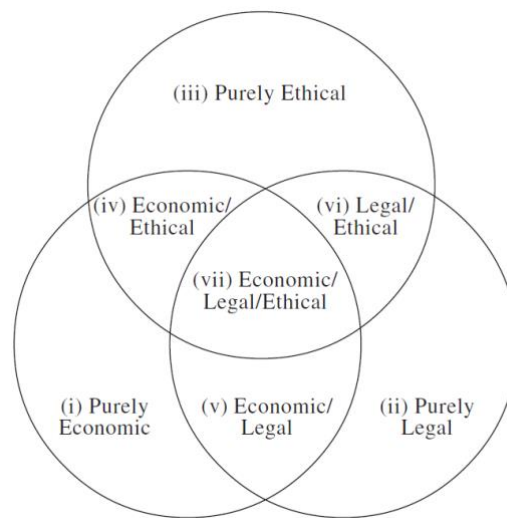


Figure 2-4 The three-domain model of CSR (Schwartz and Carroll, 2003)

In the mid-2010s, Carroll (2016) took another look at his CSR pyramid (1991) and questioned the role of philanthropy as a part of CSR, arguing that “philanthropy or business giving may not be a responsibility in a literal sense, but it is normally expected by businesses today and is a part of the everyday expectations of the public” (2016, p.4). The debate about the role of philanthropy resonates with Schwartz and Carroll’s (2003) three-domain approach to CSR. Regarding the debate about philanthropy in CSR, Ohreen and Petry (2012, p.379) agreed that “corporations must be philanthropic because one has a moral duty to help society generally”. Furthermore, Carroll (2016, p.6) refers to CSR pyramid (1991) as a “sustainable stakeholder framework” in which each of the four components of responsibility addresses the issues of different stakeholders according to the priorities that may affect these stakeholders, and these responsibilities represent long-term obligations that are passed from generation to generation. Regarding the terms *stakeholder* and *sustainable*, a review of the relevant literature is presented in Section 2.2.5 and Section 2.2.6, respectively.

In the sections from 2.2.5 to 2.2.8, there is overlap between the time scales that appear in the sub-titles. This is intentional as it is not realistic and practically correct to suggest a clear-cut borderline between different phases of CSR evolution. Due to the same reason, as appropriate there can be reference to research work out with the prescribed time scale in these sections. This is to make sure that the thorough concept under discussion is covered.

2.2.5 The 1980s–1990s: to whom should corporations be responsible?

On the premise that corporations intend to make a positive contribution to society, the question of what kinds of things they should do can be responded by considering “what CSR should be like”, that is Carroll’s

(1979) conceptual model. In Section 2.2.3.1, the review of literature demonstrates that CSR had been defined in different ways from 1950s to 1970s. It is Carroll's (1979) conceptual model that provides a way to define CSR in a comprehensive view. However, this model has not specified to whom in society corporations have a responsibility. Society made up of a group of individuals, hence, socially responsible corporations are that being responsible to particular individual group(s) in society. In this context, specifying to whom in society corporations have a responsibility is important if these corporations intend to take effective CSR activities. Based on the literature review, the topics on stakeholders are related to individual groups as mentioned. These topics are put at the centre of this section. Although the theme of business ethics is not discussed in this section, it is worth mentioning that it is considered an alternative to the concept of stakeholders (Mishra, 2019). Business ethics, alongside stakeholder theory and CSP, were the established themes on CSR in the 1980s (Carroll, 1999). In brief, business ethics focuses on examining "the ethical or moral problems that can be confronted in the business environment dealing with ethical principles" (Farooq et al., 2020, p.2452).

2.2.5.1 Stakeholders and stakeholder theory

Stakeholders can be specified as different groups of individuals which are the basic units to be responsible for in discussing CSR. According to Strand and Freeman (2015), the word *stakeholder* was coined by the Stanford Research Institute in 1963. The term was stated in Johnson's (1971) definition of a socially responsible firm as consisting of stockholders and multiple groups of people whose interests are balanced by the firm's managers. Based on Johnson's (1971) statement on stakeholders, the definition of CSR became clearer in the 1970s (Mishra, 2019). During the 1960s and 1970s, opponents of the idea that corporations have social responsibilities argued that the responsibility of a company extends only to its owners and shareholders; In the 1980s, those on the other side of the debate integrated the responsibility of the corporation to its owners and shareholders into its wider social responsibilities, rather than denying that responsibility altogether. Nonetheless, according to Johnson's (1971) definition, stockholders (or shareholders, and even owners) were still considered to be separated from stakeholders.

In the 1980s, stakeholder theory was developed by R. Edward Freeman (1984, see Figure 2-5), who defined a stakeholder as any individual or group who is either associated with an organisation or is affected by it in pursuit of organisation's objective and suggested that organisations are accountable to other stakeholders in addition to shareholders (Chakraborty and Jha, 2019; Hishan et al., 2017). At a basic level, these stakeholders can be divided into those who are inside an organisation and those who are external to it (Clarkson, 1995; Donaldson and Preston, 1995; Freeman, 1984; Galbreath, 2009), and stakeholder groups can include suppliers, customers, employees and the local community (İyigün, 2015). Similarly, according

to Donaldson and Preston (1995), in a full stakeholder theory, society, customers and corporate beneficiaries are included. Donaldson and Preston (1995) also considered stakeholder theories to have a 'descriptive', 'instrumental' or 'normative' basis, which influences the characteristics of the theory.

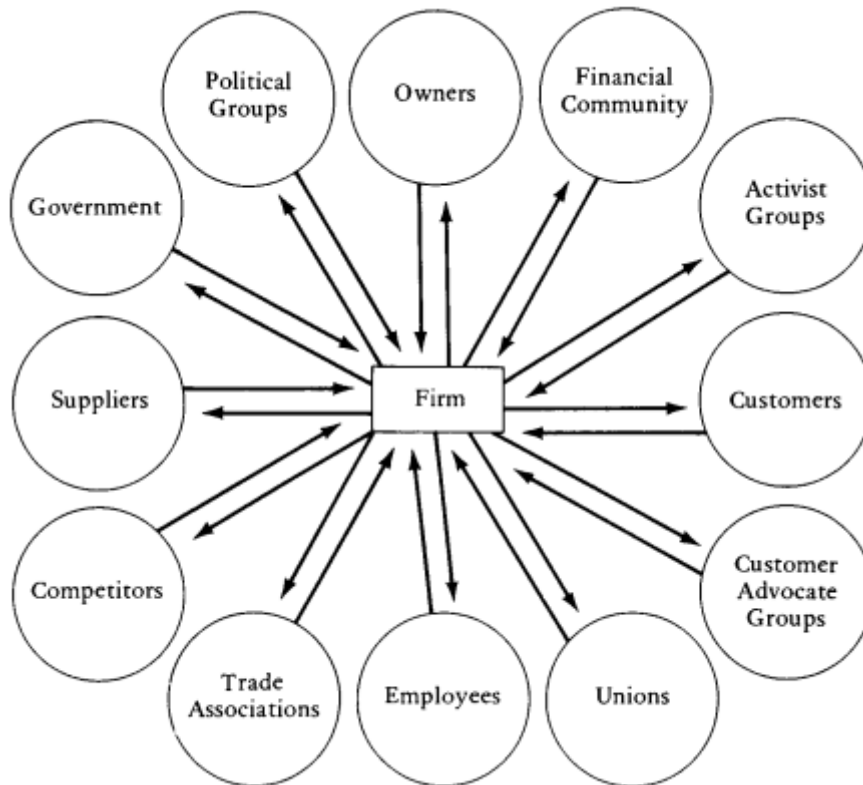


Figure 2-5 Stakeholder map of a very large organisation (Freeman, 1984)

Applying stakeholder theory has facilitated a more holistic theory of corporations. This application delineates the behaviour of a corporation by assimilating social dimensions, with an emphasis on stakeholder relationships. Using stakeholder theory, Mitchell et al. (1997, see Figure 2-6) grouped stakeholders into seven different categories (in addition to non-stakeholders) according to their different claims of power, urgency and legitimacy.

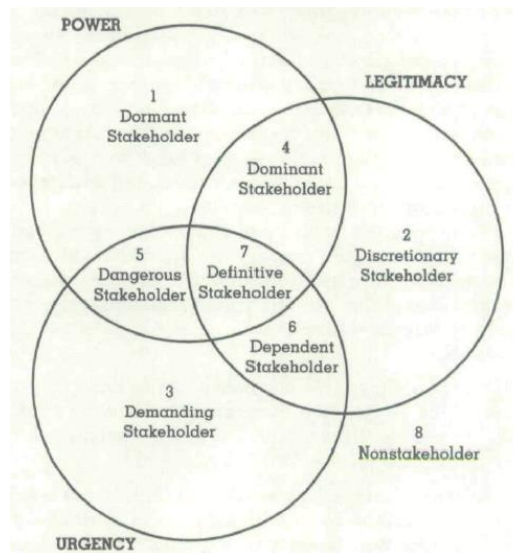


Figure 2-6 Stakeholder typology: one, two, or three attributes present (Mitchell et al., 1997)

As noted by Sharma and Singh (2022), however, stakeholder theory has been criticised by some scholars for the following reasons. Firstly, stakeholder theory focuses primarily on the actors rather than on the process of CSR engagement, so the CSR practices and perceptions remain unclear for the organisations (Key, 1999; Phillips et al., 2003). Secondly, the rights of indirect stakeholders in CSR activities are ignored as the argument of stakeholder theory is in individuals or groups who can either affect or be affected by a corporation. Based on these criticisms, the definition of CSR provided by stakeholder theory can be summarised as “maximising returns to immediate stakeholders without providing a clear understanding of implementing CSR” (Stieb, 2009).

2.2.5.2 The influence of stakeholder theory

Rather than focusing on how stakeholder theory has been developed this section concentrates on how developments in stakeholder theory have influenced CSR. There is no fixed definition of CSR, but the stakeholder perspective is central to the concept (Adib et al., 2021; Dahlsrud, 2008; Lindgreen et al., 2009). Specifically, the influence of stakeholder theory on the development of CSR is twofold, affecting both academia and practice.

The influence of stakeholder theory on academic developments in CSR is evident. By comparing two main works on the conceptualisation of CSR – Carroll (1979) and Carroll (1991), it can be identified that Carroll (1991) added new content, which is related to stakeholders, in his revised CSR theory: he stated that CSR moves towards the moral management of organisational stakeholders. By considering the year (1991) when this work was published, it can be assumed that this revised CSR theory could be influenced by Freeman’s work on stakeholder theory published in 1984. Specifically, in this revision, Carroll (1991) considers who

a corporation should have significant responsibilities towards as five major stakeholder groups: owners (shareholders), employees, customers, local communities and the society at large. Similarly, using stakeholder theory as a basis, Clarkson (1995) redefined CSR as the ability to manage and mainly satisfy different stakeholders' demands of a corporation. Another theory that is important in the context of CSR is that of the Elkington's (1994, 1997) TBL (which is explored in the next section). Regarding this, the consideration of stakeholders taken by the World Business Council for Sustainable Development (WBCSD, 2001) in defining CSR implies that CSR is influenced by stakeholder theory. This definition linked stakeholder theory with the TBL.

As for the influence of stakeholder theory on practice, stakeholders' demand for social identity influences the CSR activities undertaken by corporations. Regarding social identity, stakeholders (e.g. employees, customers and investors) have demands that are associated with a firm giving them an identity in its CSR activities (Burmam et al., 2009; Chakraborty and Jha, 2019; Tajfel and Turner, 1986). With regard to the influence of stakeholder theory in CSR practices, stakeholder theory, derived from political economic theory in general, enables corporations to identify the stakeholder group with the interest that is most crucial and relevant to the corporate interests so that managers can focus more on the relationship with this stakeholder group to achieve their targets (Chu et al., 2013; Deegan, 2002; Mehedi and Jalaludin, 2020). Similarly, considering that stakeholder demands are often mutually exclusive and it is not always possible to treat all stakeholders equally, a corporation's stakeholders may be categorised into primary stakeholders and secondary stakeholders according to their various economic and social objectives (Clarkson, 1995; Galbreath, 2006; Sethi, 2003). To maintain a strong relationship with powerful stakeholders, corporations conduct socially responsible activities and disclose information, regardless of its financial relevance (Chu et al., 2013). Donaldson and Preston (1995) considered that, to increase the longevity of both the business and the industry, a company needs to collaborate with key stakeholders, even if this collaboration requires them to make sacrifices in the short term. In addition, companies cannot ignore the need to engage in CSR activities that are important for non-financial stakeholders, according to arguments made by McWilliams et al. (2006). Nonetheless, the balance between corporate governance and public governance can only be achieved through dialogue with society at large (employees, governments, customers, NGOs, etc.). Other CSR practices based on stakeholder theory include improving CSR outcomes by working with multiple stakeholders (Prasad and Kumar, 2022), and creating a corporate identity that is relevant to internal stakeholders (i.e. employees) and has the desired or actual perception by external stakeholders (Alvesson, 1998; Barnett et al., 2006; Fombrun, 1996; Phillips et al., 2020).

2.2.6 The 1990s–2000s: what results should CSR achieve?

With an increasing focus on stakeholders, especially after the introduction of stakeholder theory, corporate decision-making in the 1990s was influenced more by the outside world. In this context, stakeholders, especially those who are external, had higher expectations of corporations: not only regarding their CSR activities and who they were for, but also in relation to the results of their socially responsible undertakings. These results can be referred to as performance, impact or outcomes. Regarding these results, Wood’s (1991) work on CSP and Elkington’s (1994, 1997) work on the TBL are two important topics discussed in this section.

2.2.6.1 The performance of CSR as CSP

Although the conceptual model developed by Carroll in 1979 was related to CSP, Wood (1991, see Table 2-2) developed a CSP model for considering CSR in a comprehensive framework (İyigün, 2015; Jamali, 2008), which takes a holistic approach to CSP (Mishra, 2019). This model goes beyond a delineation of different types of social responsibilities to examine the issues which relate to the principles of motivating responsible behaviour, the processes of responsiveness and the outcomes of performance (Jamali, 2008). The motivations that drive corporations to be socially responsible are split into three levels – the principle of legitimacy at the institutional level; the sense of public responsibility at the organisational level; and the discretion and responsibility of managers at the individual level – which makes room for the interaction among two or more of these motivators (Jamali, 2008). The actions of responsiveness are conceptualised as environmental assessment, stakeholder management, and issues management; and outcomes are incorporated into the social impacts of corporate behaviours, the corporate programmes used to fulfil responsibilities, and the corporate policies developed for managing social issues and stakeholder interests (Jamali, 2008).

Principles of corporate social responsibility
Institutional principle: legitimacy
Organizational principle: public responsibility
Individual principle: managerial discretion
Processes of corporate social responsiveness
Environmental assessment
Stakeholder management
Issues management
Outcomes of corporate behavior
Social impacts
Social programs
Social policies

Table 2-2 The corporate social performance model (Wood, 1991)

The inclusion of different levels of motivation for being socially responsible in Wood's (1991) model is a response to the difficulties she identified in comparing and integrating the definitions of social responsibility for different conceptual entities (business in general, the individual firm, and the decision maker) (Maignan and Ferrell, 2001). This consideration matters if we are to define CSR more accurately, and Wood's (1991) model made a significant contribution to conceptualising CSR at that time. Similar to the thought of Wartick and Cochran (1985), Wood's (1991) model implied that issues management and environmental assessment were useful managerial processes for achieving a proactive stance on social responsibility (Maignan and Ferrell, 2001). However, Waddock (2004) identified that the model failed to consider the significance of stakeholder impacts, limiting the attention paid to stakeholder management in discussions about the processes of responsiveness. Regarding this, Evans et al. (2013) considered that the foundation of CSR responsiveness depicted in the model should be the individual within an organisation, meaning that employees are moral actors in this regard.

By reconsidering Carroll's (1979) conceptual model of CSP, another explanation of 'results' to be achieved through CSR activities can be found in the improved model – the CSR pyramid (Carroll, 1991) – published in the same year as Wood's model. At the top of the CSR pyramid, it is asserted that the ultimate outcome of CSR activities at all levels is that the firm should *be a good citizen* (Carroll, 1991, p.42). In this regard, Carroll (2008, p.37) commented that in the 1990s, "corporate citizenship, more than any other, became a concept that competed with CSR". The corporate citizenship approach, according to Windsor (2006), draws on political theory and stresses the responsibilities of companies as global citizens.

2.2.6.2 SR for sustainability – the TBL

Sustainability was initially defined in terms of the natural environment, and the concept was subsequently applied to the wider social and stakeholder environment (Carroll, 2008). Specifically, this relates to the UN's definition of sustainability, which is defined as "meeting the needs of the present without compromising the ability of future generations to meet their own needs" (United Nations Brundtland Commission, 1987). It is noteworthy that this definition marks the first appearance of the concept of sustainability (Sustainability For All, n.d.). Based on a suggested focus on people, planet and profit (Elkington, 1994), Elkington's (1997) pointed out three dimensions of sustainability: economic prosperity, social justice and environmental quality (Prasad and Kumar, 2022) (see Figure 2-7). The firm's activities impact on their stakeholders' welfare in each dimension of sustainability (Ferguson et al., 2020; Ozanne et al., 2016). All three dimensions are needed to sufficiently underpin the justification for CSR in the corporate sector (Farooq et al., 2020) as a description of the responsibilities of business in creating economic, social and environmental value (İyigün, 2015).

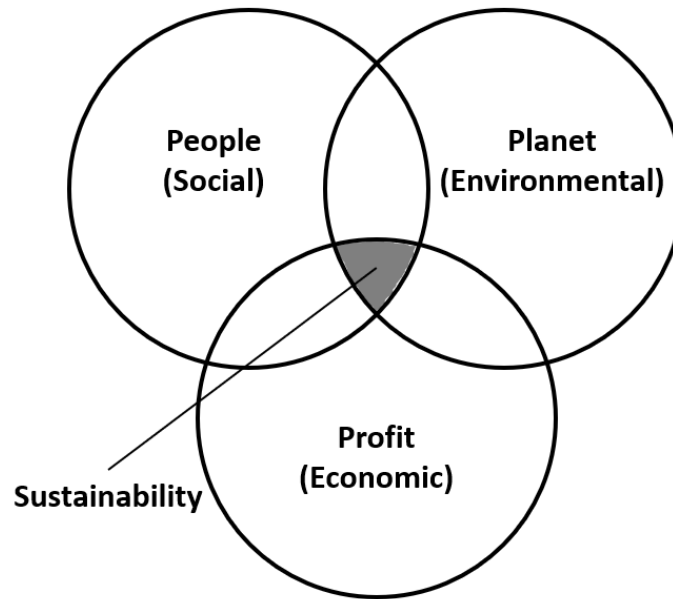


Figure 2-7 Triple bottom line (adapted from Elkington, 1994, 1997)

Elkington (1998) explained that the TBL was developed as a result of governments and their citizens putting more pressure on businesses to measure and manage the impacts and outcomes of their behaviour. The TBL is a sustainability framework for reporting on a corporation's performance in sustainable development with the aim of improving its efficiency and performance in managing corporate sustainability (Besler, 2009; İyigün, 2015). On this basis, it can be assumed that it is possible to report on CSP within the framework of the TBL. Even though in many countries there is no legislation on CSR operations, public organisations are expected to adhere to the principles of the TBL, with some exceptions (Milne and Gray, 2013). Overall, the framework provides a platform that can be used by businesses, governments and civil society (İyigün, 2015). As identified by Sy (2014), the TBL is reflected in Carroll's (1999, p.286) revisit of CSR as an aspect of managing a firm in a way that is "economically profitable, law abiding, ethical and socially appropriate".

Elkington (1998, pp.18-21) explicated the three dimensions of sustainability as follows. Economic sustainability is assessed through a corporation's economic capital, which was extended from the traditional formula ("the total value of your assets minus your liabilities") to cover the capital related to the knowledge economy, such as human capital – "a measure of the experience, skills and other knowledge-based assets of the individuals who make up an organisation". Environmental sustainability is assessed through a corporation's 'natural capital', which is affected by its current operations and will be affected by its planned operations. Lastly, social sustainability is assessed through a corporation's 'social capital', which is concerned with "society's health" and "wealth-creation potential" and measures "the ability of people to

work together for common purposes in groups and organisations” (Fukuyama, 1996; cited in Elkington, 1998, p.21).

Sustainable development is a process of achieving sustainability. Before the 2000s, several significant international events influenced the global perspective on social responsibility and the approach to sustainable development. These are evidenced in the creation of relevant international bodies and the adoption of relevant international agreements. These international efforts, specified in research by Latapí Agudelo et al. (2019), included the establishment of the European Environment Agency (1990), the Rio Declaration on Environment and Development and the adoption of Agenda 21, and the United Nations Framework Convention on Climate Change (UNFCCC) (1992), and the adoption of the Kyoto Protocol (1997). However, all of these represented international efforts for setting higher standards are about “climate-related issues and, indirectly [related] to corporate behaviour” (Union of Concerned Scientists, 2018; cited in Latapí Agudelo et al., 2019, p.7). In other words, these international initiatives could not directly influence companies’ CSR behaviours or facilitate a contribution to the TBL. Typical ways in which CSR was being institutionalised during the period leading up to 2000s are exemplified by two initiatives: one was the establishment of Business for Social Responsibility (BSR) in 1992 (Business for Social Responsibility, n.d.); the other is the European Business Declaration against Social Exclusion launched by the European Commission in 1995 (Idowu, 2013).

As stated by Carroll (2008, p.41), “[F]or the previous 20 years, but especially in the 2000s, the CSR movement has been a global phenomenon”. This phenomenon is in relation to sustainable development. As stated by Latapí Agudelo et al. (2019, p.9), “it was not until 1999 that CSR gained global attention with the landmark speech of the Secretary General of the United Nations Kofi Annan”, which eventually led to the launch in July 2000 of the United Nations Global Compact (UNGC), which was intended to be an instrument that fills the gaps in governing human rights and social and environmental issues and to embed universal values into the markets (United Nations Global Compact, n.d.). Next came to the UN’s adoption of the Millennium Declaration with its eight millennium development goals (MDGs) and the setting of internal agenda for the next 15 years (UNDP, 2017). In this context, in 2001 the European Commission (EC) published a green paper on the contemporary social expectations and concerns, which was entitled *Promoting a European Framework for Corporate Social Responsibility* (Commission of the European Communities, 2001). After a series of conferences on CSR over a four-year period (Latapí Agudelo et al., 2019), the EC published the “European Roadmap for Business – Towards a Sustainable and Competitive Enterprise” in 2005 (Idowu, 2013). Additionally, it should be noted that MDGs was replaced by SDGs in 2015 (Sustainable Development Goals) (Focus 2030, 2019).

2.2.7 The 2000s–2010s: how to benefit from CSR?

In a review of various publications defining CSR dating from the early 1950s to the 1990s, Carroll (1999) identified that scholars writing towards the end of that period had failed to contribute to a new definition of CSR. The questions to ask in that period are all about how to be (more) socially responsible. A quick question followed by this inquiry is: being (more) socially responsible, and then? Regarding this, Galbreath (2009) also identified that the main areas of focus of CSR research had been on the advancement of its concepts and theories, and its relationship with an organisation's performance, which left a gap in relation to CSR and strategy. Although Andrews' (1971) argument about addressing what a firm ought to do in its corporate strategy referred to CSR (Galbreath, 2006), according to Miles (1993), few contributions to strategic management had been made in the context of CSR since then. Based on Moura-Leite and Padgett's (2011) study, it can be understood that CSR became universally accepted in the 1990s, and there was more debate focusing on CSR in the context of strategy by the 2000s. Galbreath (2006) pointed out that an awareness of SR as an indispensable part of strategy is vital for the sake of the corporation's survival in modern society. This viewpoint justified the focus of CSR moving towards strategy, and put a focus on the benefits of being socially responsible.

2.2.7.1 CSR and strategy

According to Latapí Agudelo et al. (2019), Lantos (2001) was the first to propose an inherent link between the term *strategic* and CSR. Following this, the term *SCSR* began to appear in work by scholars such as Werther and Chandler (2005), Porter and Kramer (2006), and Husted and Allen (2007). From a strategic perspective, it was thought that "companies must learn how far they need to stretch their responsibilities, what issues to take up, how to give meaning to those issues, and how to successfully combine economic, social, and environmental strategies" (Nijhof et al., 2008, p.153). As mentioned previously, a few contributions were made to forming a new definition of CSR in the 1990s. With the academic advances in CSR and strategy, CSR was defined from a strategic viewpoint as an organisation's strategic decision to take voluntary action on the social factors which potentially prevent it from fulfilling its corporate goals (Dartey-Baah and Amponsah-Tawiah, 2011).

In literature, CSR is an indispensable part of a firm's overall strategy (Carroll and Hoy, 1984; Morales-Parragué et al., 2022). Therefore, the view that CSR is a minimal commitment should shift to consider it a strategic necessity (Werther and Chandler, 2005). To compare, Aguinis and Glavas (2013) make a distinction between embedded CSR and peripheral CSR by considering whether or not CSR is integrated

into a firm's strategies. Gazzola and Colombo (2014) consider CSR a part of business strategy whereby corporations respect the existing value system and create a good social image for themselves.

The literature suggests that at the heart of CSR strategy is the central and ascendant role of the stakeholder (Fukukawa et al., 2007; Galbreath, 2009; Polonsky and Jevons, 2009; Vaaland et al., 2008); hence, stakeholder theory is vital to implementing (CSR) strategy (Adib et al., 2021). Intensive and broad efforts made by companies to demonstrate more ethical and responsible behaviour (which in the 2000s was increasingly demanded by society) and their interaction with complex and dynamic networks of stakeholders led to a much more strategic position for the social agenda; by paying increasingly closer attention to issues relevant to this agenda, companies could improve their chances of long-term survival and achieve a competitive edge (Elkington, 1997; Nijhof et al., 2008; SER, 2001; Zadek, 2004).

In practice, to fully integrate CSR into strategy, Galbreath (2009) suggested that it is necessary to view social issues as strategic issues. Furthermore, to build CSR into strategy in a way that reflects its importance to the firm's mission, it is important to adopt an approach that strategises CSR in the context of the achievement the firm is attempting to make, taking specific actor expectations, industry, and competitive reference at other levels into account (Burke and Logsdon, 1996; Galbreath, 2009). Similarly, it was briefed that a successful CSR strategy should be tailored to the context of each individual business (Van Marrewijk, 2003). However, a fuller integration of CSR into strategy seems not to be easily prescribed within a specified period of time but to be an emergent pattern over time (Carlisle and Faulkner, 2004). In terms of 'contextualising' CSR strategy, it was suggested that this should take account of cultural and structural factors, the values of the organisation, its management style, empowerment, and teamwork, with the aim of developing innovative behaviour when adopting a CSR strategy (Revuelto-Taboada et al., 2021).

It was identified by Galbreath (2006) that some scholars (Kok et al., 2001; Waddock et al., 2002; Walton, 1982) considered the potential positive effect of regulations or legal actions on motivations for adopting reactive CSR strategies for a pure profit. This implies an alignment of CSR strategy with relevant efforts being made by the public sector. Due to the 'blurred boundaries' between the roles of public and private actors, (nowadays) it had been more and more common to identify societal expectations vis-à-vis business, which sometimes directly contributed to the debate on the notions of CSR, sustainability, the TBL, sustainable development, corporate citizenship and human rights (Kolk, 2016).

In the public sector, according to Keong et al. (2017), the supranational organisation EU renewed its strategy for CSR, which was published by the EC in 2011, stating that enterprises "should have in place a process to integrate social, environmental, ethical human rights and consumer concerns into their business

operations and core strategy in close collaboration with their stakeholders” (European Commission, 2011). Four years later, an initiative for developing an inclusive sustainable economy, the Enterprise 2020 Manifesto, was launched by CSR Europe (CSR Hellas, 2015). Other global initiatives in this period, according to Latapí Agudelo et al. (2019), also include ISO 26000 – Social Responsibility, which was proposed in 2010.

Considering the development of CSR as strategisation, when meeting with global issues, globalisation needs to be internalised by CSR strategy. In describing the long-term re-evaluation of the role of corporations in society as a driver of CSR, Steven D. Lydenberg stated that this re-evaluation was more evident in Europe, while businesspeople in the USA were more sceptical about it (Teach, 2005). Similar concerns can be found in Galbreath’s work (2006), which argues that the implementation of CSR strategies needs to be localised in a global context: in many cases, the same CSR strategies developed in one country are implemented in the same way in the rest of the world; however, with different countries having distinctive characteristics, the CSR context varies considerably from one country to another (Rochlin and Boguslaw, 2001; Waddock and Smith, 2000). With regard to addressing CSR strategy in a broader, global context, Galbreath (2006) mentioned four key aspects to consider: culture, the regulatory environment, NGOs, and global standards.

2.2.7.2 SCSR and CSV

Prior to the 2000s, Burke and Logsdon (1996) identified five dimensions of strategic CSR (SCSR) – centrality, specificity, proactivity, voluntarism and visibility – which can be considered the foundation of the development of SCSR in the following decade. A piece of research with particular relevance to Burke and Logsdon’s (1996) five dimensions of SCSR is a survey conducted by Husted and Allen (2007), through which they identified visibility, appropriability and voluntarism as three main strategic dimensions of CSR which can be linked to value creation. Latapí Agudelo et al. (2019, p.12) summarised two ways in which SCSR creates value: “first, SCSR generates new areas of opportunity through the constant drive for creating value, which in turns results in innovation. Second, implementing SCSR with the aim of creating value is inevitably linked to social demands”. In addition to value creation, Heslin and Ochoa (2008) argued that implementing SCSR can lead to competitive advantage. Regarding this, Heslin and Ochoa (2008) presented *exemplary SCSR*, which gives an insight into the potential benefits of SCSR for creating shared value. Furthermore, Heslin and Ochoa (2008) believed that creating shared value functioned as a driver for incorporating global and complex issues into the SCSR policies of companies (Latapí Agudelo et al., 2019). These issues can be assumed to be the causes leading to relevant global initiatives mentioned in Section 2.2.6.2. The potential benefits of generating shared value were the main research focus for the next decade.

Bosch-Badia et al. (2013) pointed out that between 1990 and 2010, the focus of CSR was shifting from financial returns towards shared value, which, according to Porter and Kramer (2006), companies could integrate into their strategies. However, managers were still finding it challenging to implement relevant CSR strategies and evaluate their firms' performance with regard to these strategies (Adib et al., 2021). The concept of shared value was proposed by Porter and Kramer (2006) as a new way of associating a company with its environment and applying CSR on that basis. Shared value is not separated from the company's economic value; instead, economic value is created by addressing needs and challenges that exist in society (Porter and Kramer, 2006). By definition, shared value refers to "policies and operating practices that enhance the competitiveness of a company whilst simultaneously advancing the economic and social conditions in the communities in which it operates" (Porter and Kramer, 2011, p.6). Furthermore, as argued by Sharma and Singh (2022, p.1396), it is "a concept that is beyond philanthropy, social responsibility or even sustainability". Mehedi and Jalaludin (2020) identified that the concept of shared value has its similarities with the four responsibilities in Carroll's (1991) CSR pyramid, because in CSR pyramid it was proposed that environmental and social obligations should be respected as society's ethical values (Porter and Kramer, 2006). However, from the perspective of Latapí Agudelo et al. (2019), the concept of CSV is the same as Trapp's (2012) proposal of a third generation of CSR – wherein corporations' activities incorporate their concerns about social and global issues, even if those concerns are not directly related to their core business.

Considering these statements from Sharma and Singh (2022), Mehedi and Jalaludin (2020) and Latapí Agudelo et al. (2019), despite the fact that they defined shared value differently, all their definitions have a consideration of CSR. Regarding this relation, Porter and Kramer (2011) have argued that CSR should be replaced by CSV. The review of the literature in this section has touched on alternative concepts of CSR, such as stakeholder theory and sustainability. Likewise, it can be argued that CSV is a new alternative concept of CSR. Besides, according to relevant work published after Porter and Kramer's (2011) study, the potential benefits of SCSR have been stated to include sustainable value (Chandler and Werther, 2013) (from 'shared value'), and a holistic CSR perspective has been considered to be incorporated within a firm's strategic planning and core operation (Chandler, 2016). This evolution implies that the conceptualisation of CSV is an iterative process. Nonetheless, according to Chandler (2016), a new component of SCSR is the "optimisation of value" whereby the maximisation of profit is no longer accepted as the only responsibility of corporations, as had been argued by those who opposed the existence of social responsibility in business (see Section 2.2.3.2).

2.2.8 The 2010s-2020s: how can CSR be sustainable?

Visser (2010) summarised the failure of modern CSR as incremental CSR, peripheral CSR, and uneconomic CSR, and proposed the concept of CSR 2.0, in which sustainability and responsibility are the new DNA of business. Although other scholars have proposed a future holding CSR 3.0 (Dumont, 2012) and even CSR 4.0 (Munro, 2020), the influential CSR scholar Carroll (2021) agreed that it is still the era of CSR 2.0.

Visser (2016, p.358) explicated the meta-level ontological shifts and the micro-level methodological shifts need to happen to create this new DNA in his later work. In terms of ontology, it means shifting from being philanthropic to collaborative; from risk-based to reward-based; from image-driven to performance-driven; from specialised to integrated; from standardised to diversified; from marginal to scalable; and from Western to global (Visser, 2016, p.358). The methodological changes include shifts from luxury products and services to affordable solutions; from charitable projects to social enterprise; from CSR indexes to CSR ratings; from CSR departments to CSR incentives; from product liability to service agreements; from ethical consumerism to choice-editing; from CSR reporting cycles to CSR data streams; from stakeholder groups to social networks; and from process standards to performance standards (Visser, 2016, p.358). These shifts contribute to “designing and adopting an inherently sustainable and responsible business model” (Visser, 2016, p.365). Therefore, the idea of CSR 2.0 is enabling CSR to become sustainable; i.e. CSR 2.0 responds to the question “*How can CSR be sustainable?*”

There are four DNA codes for CSR 2.0: value creation, good governance, societal contribution and environmental integrity (Visser, 2016, p.360). These DNA codes are reflected in this thesis through the author’s classification of the periods in this chapter. Firstly, according to Latapí Agudelo et al. (2019), one of the contributions made by Carroll’s (1979) three-dimensional conceptual model was a shift from the view that economic and social objectives were incompatible trade-offs towards the perspective that both types of objectives are an integral part of the business framework for total social responsibility (Lee, 2008): a framework which implies that corporations have a societal obligation that cannot not be fulfilled through the objective of being profitable (Chakraborty and Jha, 2019). This objective can be guaranteed by adopting the DNA code of value creation. Secondly, during the period from the 1950s to the 1970s, the centre of the argument was the legitimacy of CSR in business. By reflecting on Keith Davis’s (1960, p.71) argument that “the social responsibilities of businessmen need to be commensurate with their social power”, it can be understood that the social power of a businessperson should be legitimised by their social responsibilities. In the context of considering social power, these social responsibilities refer to good governance. Thirdly, in the period from the 1980s to the 1990s, the central issue was stakeholders. Regarding this, Donaldson and Preston (1995) suggested that a full stakeholder theory should include not only customers and corporate

beneficiaries but also the whole of society. This suggestion calls for some sort of societal contribution. Fourthly, during the period from the 1990s to the 2000s, the TBL focused on sustainability. Despite the word *triple*, its origin, according to Carroll (2008), was a focus on the natural environment. Therefore, it implies a (particular) emphasis on environmental integrity.

Based on the links stated above, it can be considered that these four DNA codes for CSR 2.0 can help us respond to specify the benefits related to the question “*How to benefit from CSR?*” It has been stated earlier in this section that “the idea of CSR 2.0 is enabling CSR to become sustainable”. Therefore, four DNA codes for CSR 2.0 can be specified as sustainable benefits of CSR. It is important to link CSR with sustainability if sustainable benefits are intended to be gained by applying CSR. Regarding sustainability, it has been stated in Section 2.2.6.2 that “sustainable development is a process of achieving sustainability”. Based on the review of literature in this section, it was recognised that sustainable development had been a global phenomenon which would be most relevant to SDGs currently in terms of CSR. In this regard, Fallah Shayan et al. (2022, p.10) proposed SDGs as a reputable, comprehensive, and practical framework for planning CSR.

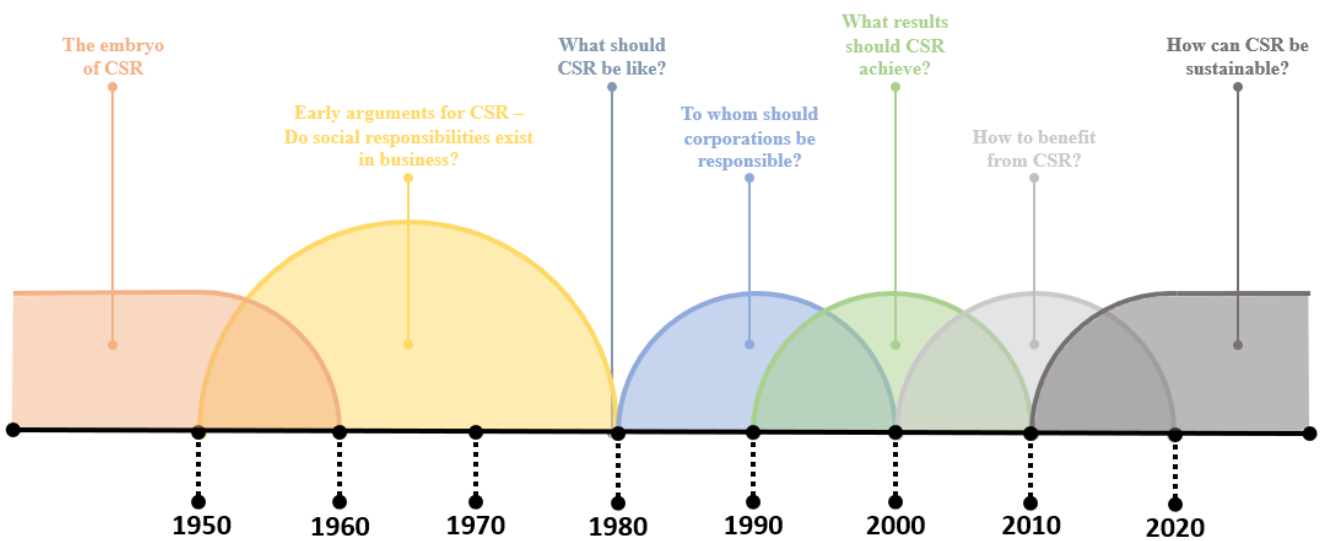


Figure 2-8 Timeline of the evolution of CSR

2.2.9 The evolution of CSR: what about other geopolitical regions of the world?

So far, the literature related to CSR was mainly about the Western world. As the (modern) conceptualisation of CSR emerged in the Western world, it is not surprising that the literature reviewed from Section 2.2.1 to Section 2.2.8 is dominated by Western researchers. This has also been pointed out by Tian et al. (2011). Therefore, it may be interesting to explore how CSR has developed in different country contexts in other geopolitical regions of the world. India is a useful country context to consider in a review of the literature

because, like the USA (where CSR emerged), it was colonised by the UK; however, India is still an emerging economy. Another interesting context is China, which is an emerging economy that was once semi-colonised by the UK, but which differs from the Western countries because it is a socialist country.

2.2.9.1 The development of CSR in India and in China

It is possible to gain an understanding of the evolution of CSR in India by considering Mishra's (2019) review. Firstly, it considers the period from around 1800 until 1914 – a pre-industrial period in which CSR activities were dominated by a corporate philanthropy with a religious influence. In the eighteenth century, a business philosophy that included social management was adopted from the East India Company; in the early nineteenth century, societal concerns were addressed by traditional merchant communities through their contribution to people's welfare; and between 1858 and 1914 these communities made donations for religious and social purposes (Chahoud, 2006; Mohan, 2011; Sundar, 2000). Mishra (2019) then considered that during the period between 1914 and 1960, particular in 1947 which India gained independence, it encountered serious economic problems. In this context, the development of Gandhi's trusteeship model in this period influenced CSR activities in India and businesspeople were expected to make contributions to not only social causes but also nation-building. Next came the period from 1960 to 1980, when a number of businesses were interested in CSR and philanthropy. These interests entered the academic debate about meaningful contributions to CSR (Sood and Arora, 2006; Sundar, 2000). During that period, India adopted a 'mixed economy' model, in which the public sector played a larger role than the private sector in promoting CSR; it did this by regulating business activities and promoting the creation of state-owned enterprises (SOEs). From 1980 to 1990, companies began to engage seriously with issues they had learned of, which began to replace charity and traditional philanthropy as mainstream developmental activities (i.e. CSR activities) in India; however, philanthropy was still the most significant driver of CSR (PiC, 2004). In the 1990s, the economic reforms in India liberalised, globalised and privatised its economy, which raised expectations among consumer groups, pressure groups and society of responsible business behaviour and put CSR (rather than passive philanthropy) at the centre of corporate action in Indian companies (CSR Survey Report, 2002). Since the early twenty-first century, Indian CEOs have been paying more attention to CSR and adopting mixed approaches (Mishra and Suar, 2010) (e.g. philanthropy, community development and sustainable development practice). The following regulatory developments related to CSR took place: (1) CSR was made compulsory for SOEs, with guidelines prescribing three levels of CSR expenditure in each financial year (2010) – (a) based on a pilot study conducted in SOEs, submitting business responsibility reports was made compulsory for the top 100 listed firms (2012) (Ministry of Corporate Affairs, 2020), and CSR was made mandatory for all profit-making listed Indian companies in accordance with the new Companies Act (2013); (2) social issues were prescribed in Schedule VII of the

Companies Act (2013); (3) accounting norms for reporting CSR spending were specified in the Guidance Note on accounting for CSR expenditure (2015) (GN on CSR, 2015).

In the context of China, work by Schmidpeter and Stehr (2015) underpins an understanding of the evolution of CSR. As a highly influential cultural factor, Confucianism was considered to inform the ‘harmony approach’ to CSR in China until 1949 (Wang and Juslin, 2009). This was followed by a period of losing Confucian virtues after the (Chinese) Revolution (1949-1976), and a long period of absence of CSR immediately after the beginning of China’s economic reform (1978). From the economic reform to the mid-1990s, the main goal was nation-building (i.e. the culture of profit, which led to ethical violations), and the *guanxi* practice, which lacked transparency, an independent justice system or a free press, led to “moral mayhem” (Kuo et al., 2012; Ip, 2009; Schmidpeter and Stehr, 2015). From the mid-1990s, companies in China started to accept CSR-related standards, regulations and codes of conduct when they were asked to do so by their purchasers (Wang and Juslin, 2009). CSR in China became more widespread due to: (1) milestone events such as China’s entry to the World Trade Organisation, the proposal of the UN Global Compact and the introduction of Social Accountability 8000 (Ip, 2009); (2) the high level of foreign direct investment (Lattemann et al., 2009); and (3) the Chinese government’s motivation to secure its reputation for economic growth (Lattemann et al., 2009). At the same period, the government launched important initiatives. First, the China Securities Regulatory Commission’s code of conduct invited listed companies to take an interest in the welfare, environment and public interests of the communities they operate in (Lattemann et al., 2009). Second, the new company law placed expectations on companies to engage in socially responsible activities, the first SOE CSR report was published in 2006, and the voluntary regulatory policies were adopted in the circular economy (Sarkis et al., 2011). In terms of guidelines of stock exchange, there are the Shanghai Stock Exchange’s guidelines for listed companies to disclose their environmental information (Moon and Shen, 2010) and the Shenzhen Stock Exchange’s social responsibility guidelines for listed companies (Ip, 2009). Besides, managers from the ruling Communist party were appointed to SOEs (Kuo et al., 2012), the SASAC Instruction for CSR in State Owned Enterprises and the CSC 9000T standard for the textile industry were introduced (Chahoud, 2008). In addition to these initiatives, environmental regulations and carbon reduction plans were included in the Chinese government’s eleventh Five-Year Plan (Kuo et al., 2012).

2.2.9.2 A comparison of CSR development in the Western world, in India and in China

According to the literature reviewed, there are two main differences in the development of CSR between the Western world and other geopolitical regions of the world (India and China). The first is the function of SOEs in promoting CSR. While relatively few SOEs are mentioned in the literature on CSR in the

Western world, they are given significant attention in the literature on CSR in India and in China. The second is the main actor within the public sector in terms of promoting CSR. The literature on CSR in the Western world shows that a key role in this regard is played by Europe-wide actors in the public sector (e.g. CSR Europe, the EC and the EU), while in the contexts of both India and China, the regulatory bodies (especially the national regulatory bodies in China) play the most important role.

The development of CSR in the earliest period in both India and China depended on the main moral and ethical influences in those countries. In India, the main influential factor was religion, while in China it was (Confucian) culture. In India's second period of CSR development (1858–1914), the colonised country adopted British business philosophy, so the development of CSR in India at that time was similar to that in the Western world (i.e. welfare movement and philanthropy). Next came the third period of CSR development in India (1914–1960), during which India went through a transformation and gained independence (in 1947), after which Gandhi's trusteeship model was applied to solve the country's serious economic problems. This trusteeship was different from trusteeships in the Western world. The Western trusteeships can be considered to avoid the recurrence of crises such as the Great Depression caused by the limitless power of corporations. The fourth period of CSR development in India (1960–1980) was influenced by the adoption of a mixed economy model, which is similar to the "Socialism with Chinese characteristics" (UNDP, n.d.) adopted in China after its economic reform. During this period, the public sector (government) played a larger role in promoting CSR through legal regulations and SOEs in China. During the fifth period of the CSR development in India (1980–1990), India started to enter the global business world, more focus was directed at mainstream development activities and the economic reforms introduced in 1990-2000 led to the replacement of passive philanthropy by (real) CSR activities. Due to the fact that China was facing a long period of loss of Confucian virtues after the (Chinese) Revolution, with *guanxi* and the culture of profit replacing their influence since the start of the economic reforms, there has been a long period in China when CSR was absent and even the moral and ethical state of the country was worsened.

In the latest period of the development of CSR (since the early twenty-first century), when Indian CEOs have been paying more attention to CSR and adopting mixed approaches, the regulatory bodies are again playing a bigger role in India. In China, since the mid-1990s when Chinese companies started to accept CSR-related standards, the regulatory bodies have also been playing a (considerably) larger role in promoting CSR. To compare, SOEs in both countries play a role in testing regulatory CSR initiatives; there are mandated CSR initiatives for listed companies and CSR guidelines for companies in both countries. In addition, SOEs in China seem to take on more (political) CSR, such as appointing managers from the ruling Communist party and adopting CSR standards exclusive to SOEs.

2.3 CSR in the HE sector

From definition to theory, the debate about CSR discussed so far in this review of the literature is mainly related to the business world. This raises the question of whether CSR exists to serve the private sector only. Crane et al. (2014, p.14) made the following argument about CSR in the public sector:

“... we increasingly find public sector organisations adopting CSR policies, practices and tools very similar to those found in the private sector... Public organisations, such as schools, hospitals, or universities, by definition have social aims and are mostly run on a not-for-profit basis. This establishes the social dimension of their responsibility at the core of their operations.”

Inherently, the universities themselves are socially responsible. Van Vught and Westerheijden (1994) pointed out that the values of HE include: (1) intrinsic values (i.e. the exploration of truth and knowledge); and (2) extrinsic values (i.e. the responses to the changing social needs and pressure from the society). These values correspond to the objectives of HE institutions as providing academic excellence and widening access to and participation in learning opportunities, as stated by UNESCO (2022). From these values, it can be understood that activities in the HE sector consider not only self-development but also social change. These social changes are positively responded by HE as public good (Tilak, 2008). Locatelli (2018) further discussed her finding of common good as a continuum of public good in terms of education, from which the shared value among its participants was addressed.

2.3.1 SR and HE

In Ellis's (2020) study of the history of HE institutions, she mentioned the centres of 'higher learning' in ancient Greece and Rome. These centres were established by philosophers such as Aristotle, a former student of Plato's. Later, the Roman emperors used the centre of 'higher learning' for their governance; for example, the Pandidakterion of Constantinople "was primarily designed to train students for positions in the imperial civil service and in the Church" (Ellis, 2020, p.744). Reconsidering Latapí Agudelo et al.'s (2019) mention of the laws of Ancient Rome (see Section 2.2.1), it also had an important purpose for the Roman emperors in terms of governing. It can be argued that both the ancestors of CSR and the ancestors of HEIs had the same function as a tool for governance in the Ancient World. Further, by linking Chaffee's (2017) statement that the social component of corporate behaviour originated in the laws of Ancient Rome with Mishra's (2019) statement on the philosophers' (e.g. Plato's and Aristotle's) debate about business as a moral institution, it can be assumed that the Roman Emperors used the laws of Ancient Rome to govern the behaviour of institutions ('corporate behaviour'), the social component of which is contributed by the

debate about business as a moral institution originating from ‘higher learning’ in the Ancient World. This can be justified by referring to Lowe and Yasuhara (2016, p.170) – the large empires’ intention of having “widespread literacy, an administrative class, and a fairly advanced writing technology” essentially underpins their successes in disseminating information and developing educational institutions. These empires can be referred to as those in the ancient Greek and Roman worlds and in Ancient China, as discussed above. In Ancient China, Confucius was considered to be the most famous individual itinerant scholar in the era of the ‘Hundred Schools of Thought’ (6BC–3BC) (Ellis, 2020). Based on the literature discussed in Section 2.2.9, it can be assumed that the important legacy of Confucianism on the development of HE in China also influences the development of CSR in China today.

The connection between the development of HE and the development of SR is more obvious in the Enlightenment. To begin with, the German Enlightenment thinker Immanuel Kant (who worked at the University of Königsberg), the German contributor to Communism Karl Marx, and the Scottish Enlightenment philosopher Adam Smith (who worked at the University of Glasgow) are all relevant to SR (see Section 2.2.2). It can be assumed that the development of HE in the Enlightenment contributed to the emergence of ‘CSR’ as, according to Anderson (2004), the ideas of the Enlightenment were developed and taught by university professors in the context of Scotland, the Netherlands, Germany and Italy. Moreover, the roots of the Enlightenment can be found in the Renaissance, the period that drew attention to humanism. This attention can be mirrored as SR. Regarding humanism, it was not explored inside the university until the mid-fifteenth century in the Renaissance (Ellis, 2020). Since then, as concluded by Grendler (2003, p.79), “humanism had a major impact on universities because it changed the approach and content of research and teaching in the other disciplines”. This impact can be seen as a process of internalising SR in universities, i.e. the development of HE relating to SR in the Renaissance. Lastly, the Industrial Revolution (which underpins the modern CSR) can be seen as the period when alternative HE institutions emerged, furthering the sector’s development. Specifically, the Industrial Revolution began in the UK, the same country in which the first new type of university (in London) was established as a joint stock company by private individuals in 1826 (Whyte, 2015). More importantly, these alternative HE institutions were in keeping with Goldsmith’s (1759) proposal that the best universities are those that have the most intensive interaction with urban life. This proposal can be reflected in the welfare movement that was started to offset the negative effects produced in the Industrial Revolution. Therefore, it can be assumed that the development of HE has an influence on the welfare movement taken in the Industrial Revolution.

Writing more recently, Grendler (2003, p.19) stated that “universities were very important to society in the second half of the twentieth century”. In other words, universities played a very important role in the period after 1953, when CSR was born. Naturally, the importance of universities calls for them to fulfil

responsibilities to society. In this regard, Alshuwaikhat and Abubakar (2008) have pointed out that universities play a part in developing a closer relationship between individuals and society.

2.3.1.1 SR of universities

At the Association of Commonwealth Universities Conference of University Leaders in 2016, several delegates debated issues on social responsibility. Craig Mahoney, the principal and vice-chancellor of the University of West Scotland, declaimed “universities cannot be sustainable without being socially responsible” and argued that “if we’re not socially responsible, then there is no future for our universities” (Weiss, 2016).

In recent decades, university rankings systems have been globally popular; however, the majority of these emphasise a university’s research and academic reputation while having little concern about environmental issues (Alshuwaikhat and Abubakar, 2008). It seems that until the first decade of the twenty-first century, university rankings were not “sufficiently sustainable”. Grindsted (2011) confirmed that the UI GreenMetric Ranking was the first to attempt to develop a global (developed countries as well as developing countries) university ranking system based on sustainable behaviour. In short, it is an environmental sustainability ranking (Ragazzi and Ghidini, 2017). A more comprehensive university ranking system that concerns itself with sustainable development is THE Impact Rankings. Developed in 2018, these are the first university rankings to gain insight into the social responsibilities of universities included in the four main university ranking systems in the world: Times Higher Education (THE), Quacquarelli Symonds (QS), U.S. News & World Report (US News), and Academic Ranking of World Universities (ARWU). In 2022, QS published its first sustainability rankings, although QS Star had previously included one rating on university SR. These developments show that increasing attention has been paid to universities’ SR performance in recent years.

Reviewing recent research related to SR reveals that a substantial number of scholars (Dima, et al., 2013; Kantanen, 2005; Kotecha, 2010; Vallaey, 2007; Vasilescu, et al., 2010) consider SR to be one of the key functions of universities. In particular, Parsons (2014) stated that universities should recognise SR as one of their “intrinsic characteristic” (p.15) and integrate it into their core functions. Asemah et al. (2013) proposed that universities secure the goodwill of local communities and other significant stakeholders by engaging in economic responsibility, philanthropic responsibility, environmental responsibility, employee wellness and health, employment of qualified lecturers and legal responsibility. Dima and Resch (2016) declared that, in a time of austerity, civic engagement is increasingly important for HE: it matters that universities, as citizens, address issues of public concern. According to Gulavani et al. (2016), by practising

SR, universities are improved: nowadays, SR plays a facilitating role in HEIs. In this way, SR continuously improves the external impact that universities make as well as their internal capacity, performance and management. Nejadi et al. (2011) analysed the top 10 universities ranked by THE in 2009 and found that they all included their engagement with SR issues in their website content. Given that teaching and research, as core functions, are considered to be intrinsic aspects of a university's SR, universities may be intrinsically motivated to be socially responsible. In addition to teaching and research, universities' community engagement and civic engagement are also included in their SR. In addition, it is a current trend for (top) universities to communicate about their SR implementation.

2.3.1.2 University social responsibility: an embryonic concept of CSR in the HE sector

According to Vasilescu et al. (2010), originating from the concept of CSR, university social responsibility (USR) relates to the universities' ethical issues and their approach to interacting with broader society. Its definition, specified in Giuffré and Ratto's (2014, p.3) work, is the university's ability to disseminate and implement a set of general principles and specific values in four processes: teaching (providing educational services); research (transferring knowledge in line with ethical principles); management (having good governance); and extension (showing respect for the environment, engaging society and promoting values). All these processes are intended to meet the needs of all a university's stakeholders (Ali et al., 2021; Heath and Waymer, 2021; Plungpongpan et al., 2016).

The concept of USR can be used to interpret the phenomenon of CSR in the HE sector, as its definition addresses two issues: (1) the particular responsibility of universities towards society; and (2) the distinction between universities' stance on morality and ethics and their stance on education (Bernardo et al., 2012; Ali et al., 2021). Despite CSR being the origin of USR, it is considered that the explicit effects on society from USR can only be imparted by HEIs (Quezada, 2012). Besides, Kouatli (2019) stated that, given that most of the existing literature refers to CSR, the concept of USR is still embryonic in comparison (Tetrevova et al., 2021). In summary, the concept of USR is still in its early stage of development, and its application is currently limited. Therefore, in this thesis, the concept of CSR is utilised for the context of HE.

2.3.2 CSR of HEIs

It seems that *university(-ies)* and *HEI(s)* are interchangeable terms. Although the university has played a central role in the history of HE, relevant historians looked beyond these institutions to frame a fuller picture of HE (Ellis, 2020). Moreover, Ellis (2020, p.745) argued that the places for HE and knowledge making

can also include private HEIs, learning societies and academies, research institutes, medical schools, further education colleges, museums and galleries. Therefore, despite the terms having similar meanings, in this section the author has chosen to use the term *HEIs* rather than *universities* to present a fuller picture of HE in relation to CSR.

In the HE sector, the phenomenon of involvement in CSR activity is still developing, as the concept and principles need to be proven in this industry (Kucerová et al., 2016; Othman and Othman, 2014). HEIs are not completely excluded from CSR as they are not entirely funded by the government (Kappo-Abidemi and Kanayo, 2020). It has been suggested that any kind of business or organisation needs to understand and address CSR (Charitoudi et al., 2011), so there should be no exemption for HEIs.

As HEIs have a long history of contributing to society by educating new generations and engaging with community-based services, CSR is not a new theme for them (Dima et al., 2013). HEIs play a vital role in CSR through their activities, including doing research that has a positive social impact and providing teaching and other services to improve moral and social behaviours in the community (Campobasso et al., 2022). Considering the opportunities, changes and challenges that exist in the HE sector (including globalisation, the privatisation of education institutions, and strong competition), it is not enough for universities to limit their role to disseminating professional or academic knowledge; in addition to that, they must reshape their corporate governance so they can meet the current needs of society (such as social development and economic growth), and some of them have increasingly focused on CSR issues, which include corporate image, corporate identity and corporate reputation (Atakan and Eker, 2007; Campobasso et al., 2022; Ddungu and Edopu, 2017; Gioia and Thomas, 1996; Gumport, 2000; Kantanen, 2005; Melewar and Akel, 2005; Mousa et al., 2020; Porter and Kramer, 2006; Rahman et al., 2019; Stensaker, 2007).

Besides, in the context of academic research that considers CSR is a new objective of the organisations that are not business (such as public administration in general and HEIs in particular), HEIs are acting ethically by introducing policies on responsible management in the areas such as teaching, research, extension and management (Teixeira et al., 2018; Vallaeys et al., 2009; Vázquez et al., 2014, 2016). Nonetheless, according to Parsons's (2014) work, CSR should be recognised as an intrinsic characteristic of an HEI; it cannot be viewed as a separate issue and must be incorporated into their core functions.

Regarding research on CSR in the HE sector, sustainability has already been identified as a global topic (Idowu, 2008). Examples include Van Weenen's (2000) research on the global experiences of the process of integrating sustainable development into the activities of universities (the Netherlands); Noeke's (2000) research on establishing an environmental management system for universities (Germany); Wright's (2002)

research on using declarations to develop major national and international frameworks for sustainability in HE (Canada); Wals and Jickling's (2002) exploration of overarching goals and processes in HE from the perspective of emancipation and in relation to sustainability (the Netherlands and Canada); Fien's (2002) investigation of issues related to choosing goals and adopting approaches for advancing sustainability in HE (Australia); and Holt's (2003) examination of the values, actions and attitudes of a group of students receiving environmental education provided by a business school (the UK).

2.3.2.1 Taking on CSR in practice

HEIs are expected to perform activities in a way that does not harm society or the environment (Kappo-Abidemi and Kanayo, 2020). It has been suggested that universities, as responsible corporate citizens, should adopt CSR as an approach to fulfilling responsibilities to stakeholders, communities and societies (Alzyoud and Bani-Hani, 2015; Rahman et al., 2019; Vasilescu et al., 2010). In terms of universities' main stakeholders, Asrar-ul-Haq et al. (2017) referred to employees, students (customers) and society; of these, CSR activities begin with those directed at employees and then extend to the others. Customers as stakeholders, from the perspective of Kanji et al. (1999), are specified as internal customers (educators as employees, and students as educational partners) and external customers (students, government, industry and parents). Carvalho Pereira and Terra Da Silva (2003) further stated that in the context of the teaching process, faculty members are the internal customer while students are the external customer; in the learning process, students are the internal customer and the employer is the external customer; and in the research process, faculty members are the internal customer and society/government is the external customer.

The review of the literature revealed that importance is attached to the educational aspect of CSR in HEIs: in recent decades, there has been an increasing tendency to include CSR topics in the syllabuses of universities and business schools (Christensen et al., 2007; Fernández and Bajo-Sanjuán, 2010; Mahoney, 1990; McKenna, 1995; Setó-Pamies et al., 2011; Vázquez et al., 2013; Wu et al., 2010). At the university level, developing new methods and structures for students in recognition of the importance of responsible sustainable education is considered to be a primary CSR activity, whereas HEIs are expected to educate students to become "adult citizens" (Kleymann and Tapie, 2010) who are aware of the role they play (and will play) in society as employees, consumers and entrepreneurs, and as stakeholders most importantly (Campobasso et al., 2022; Kleymann and Tapie, 2010; Lozano et al., 2013; Morales-Gualdrón et al., 2020; Pizzutilo and Venezia, 2021; Plungpongpan et al., 2016; Ritter 2006; Setó-Pamies and Papaoikonomou 2016; Storey et al., 2017; Wymer and Rundle-Thiele, 2017). In addition to educating students to become good citizens, universities are responsible for promoting beneficial and healthy lifestyles to students.

Together, these responsibilities underpin the important role that universities play in addressing global environmental and social challenges (Campobasso et al., 2022; Ralph and Stubbs, 2014).

Many business schools around the world have integrated topics related to CSR and sustainability into their management programmes (Moratis, 2014). Their decision to incorporate CSR-related content might have been influenced by the growing pressure from accreditation bodies and initiatives such as the Principles of Responsible Management Education (PRME), the Globally Responsible Leadership Initiative (GRLI), the Academy of Business in Society (ABIS) (Wasilczuk and Popowska, 2022), and ISO 26000, which, as an international standard endorsing the basis for SR in all organisations, is widely used to analyse and compare business schools (Chedrawi et al., 2019; Dzięgiel and Wojciechowska, 2016). Assudani et al. (2011) identified ethical and social responsibility themes had been introduced into the programmes of business schools, whereby, reflecting the needs of companies and society.

In addition to implementing CSR, universities have begun to adjust their key performance indicators to integrate SR (through voluntary engagement in social activities) into their core policy and social performance measurements (Adhikariparajuli et al., 2021; Gray, 2010; Nicholson and DeMoss, 2009).

2.3.2.2 Considering CSR as a strategy in HEIs

CSR playing a central role in strategy was primarily focused on corporations rather than universities, and the UN's 2030 Agenda for 17 Sustainable Development Goals has put academic institutions at the heart of this strategy due to their direct role in guiding future generations to take a sustainability-oriented path (Campobasso et al., 2022; Castillo-Villar 2020; Ismail and Shujaat 2019; Storey et al., 2017). It has been suggested that, rather than philanthropy, SR is a strategic initiative that is deeply rooted in university infrastructures; it is integrated into their mandate and their programmes (Hayter and Cahoy, 2018; Rahman et al., 2019; Vallaeys, 2007).

Based on Ramos-Monge et al.'s (2017) ideas about strategic management in universities, it can be understood that universities are institutionalising the CSR agenda in order to show their legitimacy to key institutional actors in this field, such as governments, funding bodies, professional associations and sector-specific associations (Beddewela et al., 2020; Reay et al., 2013; Wasilczuk and Popowska, 2022). It has been argued that maintaining and building legitimacy in society are potential additional benefits gained by universities through implementing sustainable solutions (Snelson-Powell et al., 2016; Wasilczuk and Popowska, 2022). Indeed, the intention of showing legitimacy implies that universities are giving consideration to their stakeholder management. Another purpose connected to stakeholders is to improve

the HEI's image: practising CSR is a way of building a good reputation and gaining competitive advantage, especially for private universities in an industry that today is highly competitive (Wijaya and Krismiyati, 2014, 2020). Given these benefits, universities have begun to see CSR as part of their strategy for building a better reputation (Ankit and El-Sakran, 2020; Sherif, 2015). In this regard, commenting on Susanto's (2012) study on CSR and corporate reputation, Wijaya and Krismiyati (2020) pointed out that the universities which are doing CSR will minimise their risk of not attracting enough students.

The strategic developments reviewed above can be understood to demonstrate that HEIs are adopting a more business-like approach to their stakeholders in order to survive and compete (Gioia and Thomas, 1996; Gumport, 2000; Wijaya and Krismiyati, 2020). Moreover, Alzyoud and Bani-Hani (2015) stated that in theory, all university core business could provide routes to CSR. Researchers have found that in practice, universities' CSR activities have placed more focus on legitimacy and public image than meeting what society needs, expects and demands (Chedrawi et al., 2019; Chen et al., 2015; Tetreanova and Sabolova, 2010).

As mentioned previously, HEIs are not all funded by the government. In particular, private universities are self-funded. They have sought to introduce differentiating strategies, including CSR, to be competitive. An example of successful practice in this regard is Istanbul Bilgi University (Atakan and Eker, 2007), which, since its establishment, has made commitments to propagate democratic values and human rights, to give critical thinking, and to make effective intervention in the multicultural fabric of society (Dahan and Senol, 2012; Sokratis et al., 2011).

In a similar vein, according to Lee et al. (2020), CSR is a strategy for retaining customers. From a strategic perspective, CSR in the HE sector may include intentions related to stakeholders, who are referred to as a "target group" in Wæraas and Solbakk's (2009) discussion about HE branding. From the perspective of partnership and collaboration, the motivating factors for engaging with 'target groups' in HE include educational reform, economic development, dual enrolment or student transfer, student learning, resource savings, shared goals and visions, and international joint ventures (Eddy, 2010).

2.4 Summary

In a departure from the literature reviews conducted by Carroll (2008), Latapí Agudelo et al. (2019) and Mishra (2019), the first part of this literature review considered what main questions about CSR were responded to in different periods. Three classifications (in the context of the West / developed countries) started with the same period defined in the three previous reviews: up to the 1950s. Similar to the present

thesis, both Carroll (2008) and Latapí Agudelo et al. (2019) addressed this starting period as the Industrial Revolution (1760–1840). Additionally, based on the literature review, an overlapping but not the same period – the Enlightenment (1685–1815) – can be assumed have had an influence on the growth of embryonic CSR in the Western world. Overall, in the period up to the 1950s, (C)SR activities were mainly rooted in the welfare movement and philanthropy.

Bowen's (1953) publication *Social Responsibilities of the Businessman* is widely accepted as the starting point of the modern era of SR. Since then, the question “*Do social responsibilities exist in business?*” had been argued for a long period (the 1950s–1970s). During this period, it was that “more ‘talk’ than ‘action’” in CSR (Carroll, 2008). Previous reviews in CSR literature did not single out the end of 1970s. The importance in this short period is that, by developing a three-dimensional conceptual model of corporate performance, Carroll (1979) facilitated to provide a clear answer to the question “*What should CSR be like?*”. Logically, the next (key) question is to understand what “social” (society) means. Regarding this, CSR research was mainly to respond to the question “*To whom should corporations be responsible?*” in the period of the 1980s – the 1990s. The key response to this question is based on the understanding of stakeholders, a main contribution to which was made by Freeman's (1984) stakeholder theory. In 1991, Carroll stated that CSR moves towards the moral management of organisational stakeholders and developed CSR pyramid. Mitchell et al. (1997) grouped stakeholders into different categories according to their different claims of power, urgency and legitimacy.

The following period (the 1990s – the 2000s) raises the question “*What results should CSR achieve?*” Evidently, both CSP and the TBL provide good answers. In terms of CSP, the main contributor is Wood (1991) who developed a CSP model that provides a comprehensive framework for discussing CSR and examining the issues relating to the principles of motivating responsible behaviour, the processes of responsiveness and the outcomes of performance (Jamali, 2008). As for the TBL proposed by Elkington (1994, 1997), this encompasses economic, environmental and social sustainability, based on a focus on people, planet and profit. Based on previous studies (Besler, 2009; İyigün, 2015), it can be assumed that the results of CSP can be reported within the framework of the TBL. Regarding sustainability, it is achieved through sustainable development. Before the 2000s, some international efforts were made for setting higher standards for climate-related issues (Union of Concerned Scientists, 2017; Latapí Agudelo et al., 2019); Another result that should be achieved through CSR is that the corporations themselves act as good corporate citizens. In the 2000s, the CSR movement has been a global phenomenon (Carroll, 2008), which is related to sustainable development.

Carroll (1999) reviewed various definitions of CSR published from the early 1950s to the 1990s and identified that scholars towards the end of that period had failed to contribute to a new definition of CSR. Being contrary to this, a question should be asked at that time (in the 2000s – the 2010s) was “*How to benefit from CSR?*” The idea that corporate strategy relates to CSR was not until the 1990s that it achieved universal acceptance, and in the 2000s there was more debate about the coupling of (corporate) strategy and CSR (Miles, 1993; Moura-Leite and Padgett, 2011). Regarding this, the first inherent link between the terms *strategic* and *CSR* was made by Lantos in 2001, leading to the use of term *SCSR* by some scholars in the 2000s (Husted and Allen, 2007; Porter and Kramer, 2006; Werther and Chandler, 2005). Heslin and Ochoa (2008) argued that SCSR contributes to competitive advantage and exemplary SCSR contributes to shared value creation. The focus of CSR was shifting from financial returns towards shared value between 1990 and 2010 (Bosch-Badia et al., 2013). In fact, the concept of shared value was Porter and Kramer (2006) as a new way of associating a company with its environment and applying CSR on that basis. This concept was defined by Porter and Kramer in 2011; they argued to replace CSR by using CSV (creating shared value) (Porter and Kramer, 2011). Following research in this regard includes the work of Chandler and Werther (2013) and the work of Chandler (2016).

More recently, from the 2010s to the 2020s, the question to ask in this period is “*How can CSR be sustainable?*” A remarkable development in CSR in this period is mentioning the shift from CSR 1.0 to CSR 2.0 (Visser, 2010, 2016). The four DNA codes for CSR 2.0 – value creation, good governance, societal contribution and environmental integrity (Visser, 2016, p.360) – were identified to reflect the author’s classification of the periods (the 1950s–1970s, the end of the 1970s, the 1980s–1990s, the 1990s–2000s); and help to the question “*How to benefit from CSR?*”. The benefits gained from CSR, summarised by the author, is ‘sustainable benefits’. Regarding this, currently, SDGs were proposed for planning CSR (Fallah Shayan et al., 2022).

The evolution of in India and in China is different from that in the West: Overall, due to the history of colonialism, the development of CSR in India shares more similarities with that of CSR in the Western world than that of CSR in China. In China, during the period in which Confucian virtues were being lost (1949-1976), another (negative) culture – *guanxi* replaced this and led to a period of absence of CSR (Kuo et al., 2012; Ip, 2009; Schmidpeter and Stehr, 2015). Two main differences in how CSR has evolved in the Western world and in other geopolitical regions of the world (India and China) are (1) the function of SOEs in promoting CSR (which is more evident in China in particular) and (2) the main actor in the public sector that promotes CSR (regional vs. national). In the period since the beginning of the twenty-first century, the development of CSR in India and in China share more similarities, such as the role of SOEs in testing regulatory CSR initiatives, mandated CSR initiatives for listed companies, and CSR guidelines for

companies – although appointing managers from the ruling Communist party and developing CSR standards exclusive to SOEs are developments seen in China only.

Based on Ellis's (2020) study, it can be recognised that the historical development of HE has influenced the development of SR. Nowadays, SR-related expectations of universities are reflected in the relevant university ranking schemes, including the UI GreenMetric Ranking, THE Impact Rankings, QS Sustainability Rankings, and the SR criteria for the QS Star ratings. A relevant concept to SR in universities is USR; however, this is still embryonic (Tetrevova et al., 2021). As an alternative, its origin – CSR – is applied to SR in universities. To gain a fuller picture of HE, the term *universities* is replaced by *HEIs* when describing the SR in HE – together, 'CSR of HEIs'. In HE research, it is identified that sustainability is a global topic (Idowu, 2008). A number of scholars have conducted research in this regard (Van Weenen, 2000; Noeke, 2000; Wright, 2002; Wals and Jickling, 2002; Fien, 2002; Holt, 2003). In practice, the educational aspect is given an importance in taking on CSR by HEIs, especially business schools. In addition to implementing CSR, universities have started to consider their social performances (Adhikariparajuli et al., 2021; Gray, 2010; Nicholson and DeMoss, 2009). Similar to companies, HEIs consider CSR as a strategy; this is especially true of private universities, which are self-funded according to Atakan and Eker's (2007) case study. A global initiative – the UN's 2030 Agenda for 17 Sustainable Development Goals – is highlighted as central to HEIs' (CSR) strategy development (Campobasso et al., 2022; Castillo-Villar 2020; Ismail and Shujaat 2019; Storey et al., 2017).

In the field of HE, the existing research has limited its exploration of CSR to the integrative perspective and the ethical perspective. However, considering the evolution of CSR outlined in Section 2.2, it becomes apparent that there is a lack of having a tailored concept of CSR in the HE sector. Understanding a thorough concept of CSR in the HE sector is crucial, as notable progress in CSR was only achieved after Carroll's (1979) introduction of a unified definition through CSR conceptualisation (see Section 2.2.4.1). Consequently, CSR activities in the HE sector, based on the current understanding of CSR, may fail to meet the expectation of HEI's stakeholders, resulting in an expectation gap. CSR is recognised as a multistakeholder responsibility (Teixeira et al., 2018), and this expectation gap signals the need for improvement in overall socially responsible practices within the HE sector. Such improvements are essential for the long-term sustainability of HEIs. As stated in Section 1.1.2, "universities cannot be sustainable without being socially responsible" and "if we're not socially responsible, then there is no future for our universities". In essence, HEIs must ensure that they demonstrate sufficient SR to ensure their future sustainability. To bridge the expectation gap in CSR within the HE sector, it is necessary to explore what CSR activities are expected by HEI's stakeholders, in particular the internal stakeholders, in addition to

developing a thorough concept of CSR in the HE sector, followed by exploring how CSR in the HE sector can be improved.

By considering the evolution of CSR, it can be summarised that improving CSR in the HE sector involves achieving results through CSR activities (see Section 2.2.6); reaping benefits from CSR activities (see Section 2.2.7); and establishing the capacity to sustain CSR activities (see Section 2.2.8). In essence, this improvement process entails improving performance, developing strategies, and enabling sustainability. By having a thorough concept to understand CSR in practice within the HE sector, taking into account the perspective of HEI stakeholders, and striving for improved CSR performance, the true meaning of CSR in the HE sector can be realised. This provides a comprehensive understanding to develop CSR strategies specific to the HE sector. Furthermore, in the present context, CSR activities are expected to be sustainable, necessitating a strong link between CSR performance in the HE sector and sustainability. Although the existing research on CSR strategy in the HE sector (see Section 2.3.2.2) acknowledges the engagement with sustainability, it rarely establishes a direct linkage between CSR activities and specific SDGs. Thus, a gap exists in connecting CSR performance in the HE sector with specific SDGs. Regarding this, Fallah Shayan et al. (2022) have proposed the use of SDGs for planning CSR. Understanding approaches to enhancing the performance of CSR practices is central to improving CSR in the HE sector. This understanding is followed by developing CSR strategy and integrating sustainability effectively.

To summarise, four research gaps were identified within the existing research on CSR in the HE sector: The first research gap (RG) pertains to the lack of development of a tailored concept of CSR in the HE sector (RG1), followed by the second research gap, which relates to knowledge on possible distance between the actual practices and stakeholders' perceptions of CSR in the HE sector (RG2). These two research gaps collectively emphasise a research-based approach to improving CSR in the HE sector (RG3). Lastly, in the contemporary context, there is a research gap regarding the linkage of CSR performance in the HE sector with SDGs (RG4). To address these research gaps, three research questions were formulated (see Figure 2-9):

RQ1: *What CSR activities are currently implemented in the HE sector?*

RQ2: *What aspects of CSR should be covered in the HE sector from stakeholders' perspective?*

RQ3: *How can CSR performance be improved in the HE sector?*

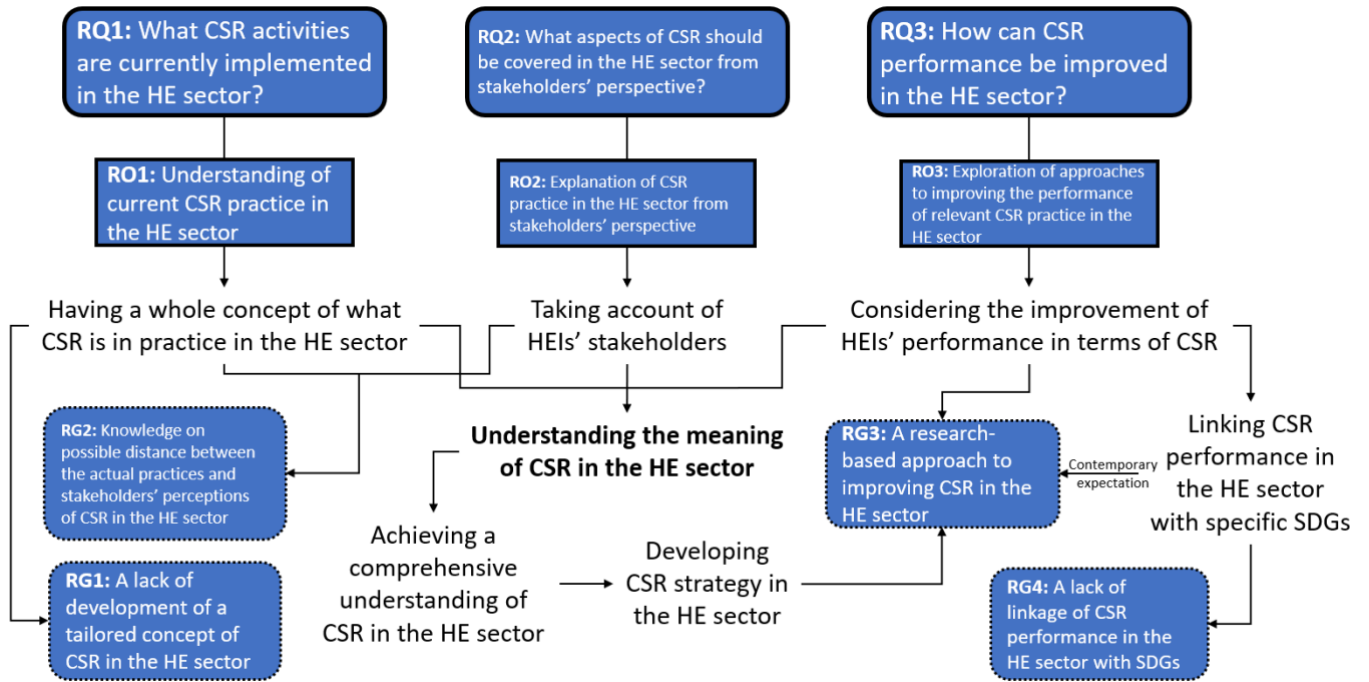


Figure 2-9 Research questions, research objectives, research gaps

Chapter 3: Methodology

3.1 Introduction

Based on the review of literature, the author considered that it is worth exploring not only what CSR is in practice, but also what CSR should be and how it can be improved in HE context. Regarding this, three research questions (RQs) were formulated:

RQ1: *What CSR activities are currently implemented in the HE sector?*

RQ2: *What aspects of CSR should be covered in the HE sector from stakeholders' perspective?*

RQ3: *How can CSR performance be improved in the HE sector?*

3.2 Research orientation

The research questions formulated in Section 3.1 relate to an inquiry concerning CSR as a phenomenon in the HE context. According to the literature review, from the early 1980s onwards, there have been few arguments about the existence of CSR in society, which implies that CSR can be accepted as a truth existing in society. However, is this an absolute truth, or can it be explained in various ways? It is with this concern in mind that the author included the wording “from stakeholders' perspective” in RQ2, which was formulated on the basis of different combinations of attributes (power, legitimacy and urgency) among different types of stakeholders, as proposed by Mitchell et al. (1997).

At a basic level in the HE sector, stakeholders include HEI policymakers and executives (administrators), academics, and students (the educated) in HEIs. Considering the various combinations of attributes mentioned above, it can be assumed that humans, as different types of stakeholders, observe different CSR activities in practice; there should have different aspects of CSR and one or some of these aspects should be more interesting for them based on the differences of power, legitimacy, and urgency among them in their HEIs. On the basis of their different observations and interests, there may also be differences in their perceptions of how CSR performance can be improved. Therefore, it can be assumed that, in this research, “there are many ‘truths’. Facts depend on the viewpoint of the observer” (Easterby-Smith et al., 2018, p.67). Hence, in this research, the author expected to adopt an ontological approach of relativism. In this way, “individuals may work together to create a shared reality” (Morgan and Smircich, 1980, p.494) – in this case, a shared reality of CSR in the HE sector.

Regarding relativism, it is suggested that constructionism can be adopted as an epistemological approach (Easterby-Smith et al., 2018, p.72). By considering reality as a social construct, research should be

conducted by using “means of generating insight regarding the methods through which individuals make sense of their situation” (Morgan and Smircich, 1980, p.497); i.e. generating insight by bringing in the particular instances of individuals. The methods in this regard are involved in inductive approach. Specifically, narrative methods (Boje, 1995, 2001; Czarniawska, 1998; Daiute and Lightfoot, 2004) are appropriate, because by adopting them, “the researcher will gain insights into organisational life that could not be reached by more conventional means” (Easterby-Smith et al., 2018, p.114). Specifically, in this research, “organisational life” refers to CSR (as life) in HEIs (as organisations).

3.3 Research design

This section outlines the process of designing the research fieldwork. It begins by explaining how data were collected, how the author determined which types of people to include in the fieldwork for this research, and selecting what method to analyse data (Section 3.3.1). Next, the process of recruiting these people and the relevant ethical concerns in this research are introduced (Section 3.3.2). The data collection method used in practice is then detailed (Section 3.3.3). The final section introduces how the collected data were transcribed (Section 3.3.4).

3.3.1 Data collection and analytical method

The main methods for collecting narrative qualitative data include individual interviews, group interviews and focus groups. All these methods were possibilities for this research. Further selection in data collection method took a consideration into the literature review: the author found that the CSR-related literature – CSR-related knowledge – is dominated by the West. In this regard, Visser (2016) argued that in the evolution from CSR 1.0 to CSR 2.0, CSR should shift from being Western to being global. This sheds light on the need to collect data from other parts of the world in addition to the West. In Section 2.2.9, it becomes evident that both CSR in India and CSR in China, as emerging countries, exhibit significant differences from CSR in Western contexts. Notably, the public sector in both countries plays a more prominent role than the private sector in promoting CSR. Given that universities are public sector organisations, the study of CSR in either India or China can serve a suitable basis for generalising the knowledge of CSR within the context of HE. In terms of historical influence, CSR in India was influenced by Western business philosophy in the eighteenth century (Mishra, 2019), while CSR in China was strongly influenced by (its own culture) Confucianism until 1949 (Wang and Juslin, 2009). It can be argued that, in comparison to CSR in India, CSR in China is less impacted by Western CSR practices, making it a more appropriate choice for exploring an alternative country context when selecting samples.

In practical terms, conducting fieldwork in China, my home country, offers certain advantages. It alleviates concerns related to living arrangements and potential cultural conflicts. Additionally, it provides easier access to academic networks, facilitates data collection, and allows for greater proficiency in conducting interviews in the local language (Chinese). Considering the restricted fieldwork period imposed by the pandemic, conducting research in China is expected to be more flexible and effective. Among the Western countries, both the UK and the USA are considered better choices because, based on the literature review, the origins of CSR are more closely related to the UK (especially given that the Industrial Revolution originated in the UK and that period had a strong influence on modern-day CSR) and the USA is where CSR emerged in the 1950s and where many developments in CSR have taken place. By taking into account the feasibility of conducting the research fieldwork – the HEI-based context, the research network, and the external environment (e.g. the impact of Covid 19) – the author considered that the UK was the more practical of the two options. Therefore, the country contexts of this research were determined as China and the UK.

Therefore, the author expected to collect data from various HEIs in order to globalise (generalise) CSR knowledge in the HE sector rather than to localise (specify) this knowledge to the context of one HEI or a (small) number of HEIs (in a specific context), adopting a group interview method might have significantly added to the time needed for the research fieldwork. In this case, group interviews were a valid alternative method, but in terms of practicality not a prioritised choice.

Hatch (1996) addressed the importance of literacy theory in narrative methods, in the application of which both the position of the narrator and the role of the analyst matter. The author agrees with both emphases: on the one hand, according to their position, different HEI stakeholders might provide significantly different narratives in relation to CSR. Stakeholders at a higher level might offer a more macro story, while a more micro story might be told by stakeholders at a lower level. Stakeholders are numerous, and due to the limited timeframe of one year, it becomes necessary to prioritise and narrow down the selection of stakeholders: By considering Freeman's (1984) stakeholder theory, when compared with external stakeholders, internal stakeholders can be understood as those individuals or groups who have a closer association with an organisation or are more affected by it in the pursuit of their objective. Due to the above considerations the author made the decision to aim for internal stakeholders. Collecting data from internal stakeholders is valuable and beneficial for establishing a shared understanding and gaining insights from an internal perspective. However, further research should also consider collecting data from external stakeholder (see Suggestion (c) in Section 8.5). In the context of their position in an HEI, policymakers and executives, (CSR) academics and students were considered the most appropriate participants for this research for the following reasons. The observations of HEI policymakers and executives might be at a

macro level, such as that of governance and administration. Observations made by (CSR) academics, most of whom are HEI employees, might be at a less macro level, and they may contribute observations from a professional viewpoint, especially in relation to their own academic interests. Meanwhile, students are most closely affected by an HEI's day-to-day operations. Although students may provide observations at the least macro level, these observations matter, because HEIs should not fail to fulfil their responsibilities to students in their day-to-day operations; otherwise, students might not choose to attend these HEIs or to continue to study there, and without educating people, these organisations cannot be legitimated as HEIs. Student representatives in HEIs provide other students with a range of services, taking charge of activities that fulfil the HEI's responsibilities to students while also receiving feedback on students' experiences. Therefore, the author considered student representatives to be a more effective sample of students to interview (see Figure 3-1 as a summary of the scope of the fieldwork).

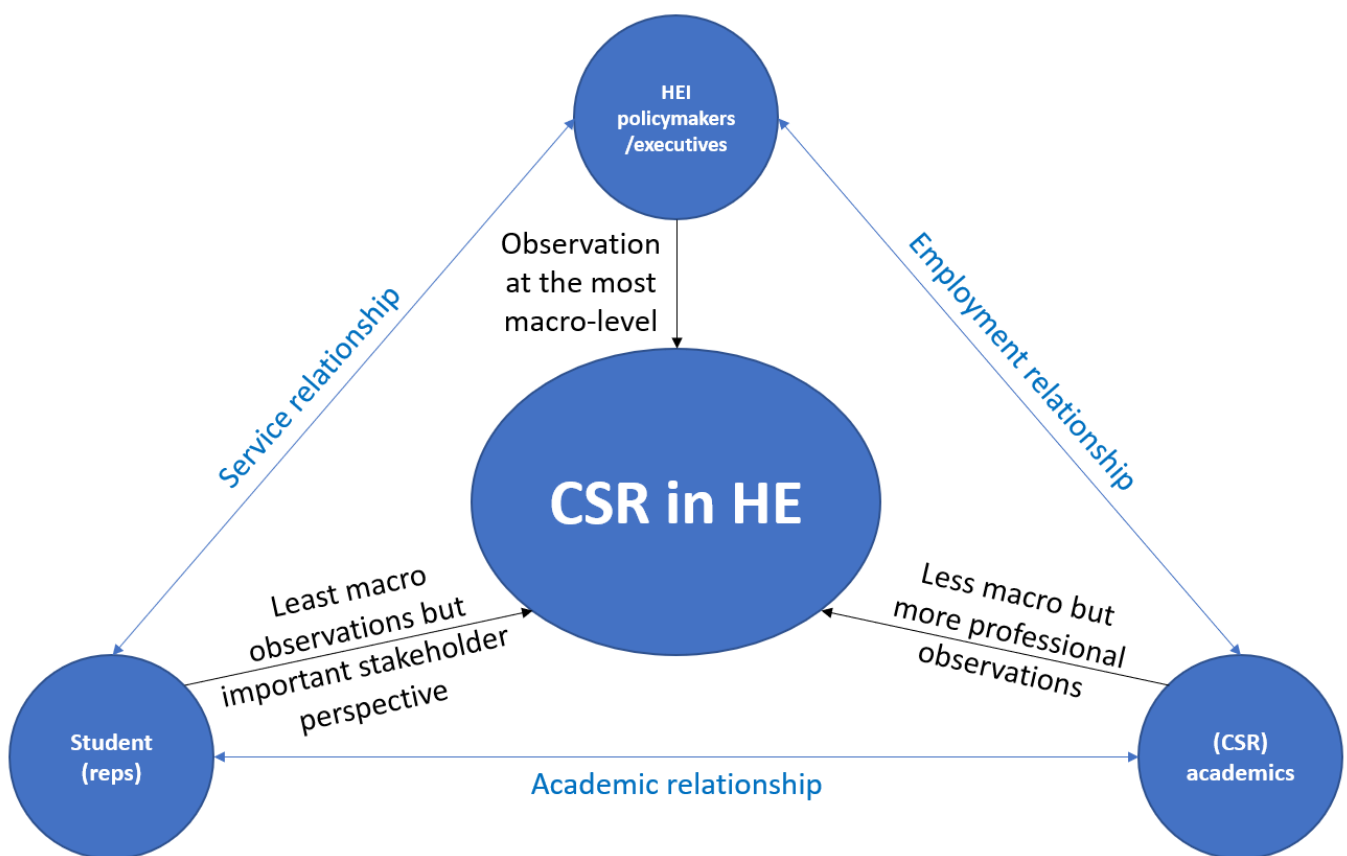


Figure 3-1 CSR in HE: Triangle of HEI policymakers/executives, academics and students

By rethinking Morgan and Smircich's (1980) suggestions on "the methods through which individuals make sense of their situation", the role of the author as an analyst is determined by considering how to make sense of the data. If the majority of the facts can be accessed directly, the analyst should play a more detached role in constructing reality, facilitating its construction. As stated by Easterby-Smith et al. (2018), the constructionist researcher might need "to collect the views and experiences of diverse individuals and observers" (p.73) – an approach described as 'triangulation'. Added to this, the research questions

demonstrate that this research aims to enquire about the meaning of CSR in the HE context (what it is / what it should be) and gain further insight into CSR in HE (how it can be improved); therefore, in this research, the author as an analyst should play a more engaged role in analysing the (qualitative) data, and the unit of analysis is organisation/ institution.

The other (general) research methods that have not been further considered above are individual interviews and focus groups. The main difference between these methods is the number of participants who can be interviewed at one time. Both methods have their advantages, but when considering practical matters, the most suitable method depends on the participant's position. During term time, academic staff have different (busy) timetables for the courses they are teaching. Some HEI policymakers and executives also have teaching duties, and they are busy with their own administrative role at other times. Individual interviews allow more flexibility for these groups of participants and provide the participants with more privacy to respond. Therefore, individual interviews were considered the most appropriate method to collect data from all types of participants.

Based on the research aim that explores what CSR means in HE context, the use of narrative qualitative data is focused on narrativising rather than dialogue. Regarding this, the data analytical method of narrative approaches suggested in Padgett's (2017) publication is thematic analysis.

3.3.2 Recruitment and research ethics

By understanding Easterby-Smith et al.'s (2018, p.184) listing of sample strategies (Miles et al., 2014; Tracy, 2013), the author chose to use typical-case sampling and snowball sampling to recruit the potential participants. Recruitment for the interviews was voluntary. It was made clear that participants were not obliged to participate and that they could withdraw at any time without having to give a reason and without prejudice. The author clarified this with all the potential participants (from HEIs in both the UK and China) and asked them if there were any regulations in their institutions that would require the author to obtain permission before proceeding with the interviews.

It was assumed that the non-student participants would contribute the most data. Correspondingly, the research fieldwork was divided into two steps: first, the non-student participants were interviewed; this was followed by interviews with the student participants. Most of the participants were recruited by adopting the snowball sampling method. These potential participants were contacted through the personal connections of the author's supervisors (in the UK) and through the author's personal connections (in China). This sampling strategy secured a certain number of interviewees to participate in the research

fieldwork in a certain period. In practice, this strategy was mainly adopted in the recruitment of non-student participants in the UK and for student participants in China. Although the author had personal connections (his own and his supervisors') in hand, the number of HEIs where the participants are from was still limited.

To enhance the quantity and diversity of participants from various HEIs, the author recognised the necessity of adopting a typical-case sampling approach. This strategy was primarily employed in the recruitment of non-student participants in China and student participants in the UK. The sampling criteria for potential participants was based on their relevance to CSR, as outlined in Table 3-1.

When searching for potential non-student participants, two factors were considered: (1) their management experience of CSR in the HE sector, such as holding an administrative position in an HEI or leading a CSR-related project, which demonstrated their relevance to CSR; and (2) their knowledge of CSR, which could be indicated by their involvement in teaching or research activities related to CSR. For candidates in HEI policymaker/executive roles, management experience of CSR in the HE sector was required, while knowledge of CSR was expected. Conversely, for academic candidates, the criteria are reversed.

In terms of potential student participants, they should be those who had previously served or were currently serving as student representatives responsible for student services related to CSR during the recruitment period. If a student candidate had knowledge of CSR, such as taking a relevant course or completing a dissertation, (s)he would be considered more suitable for selection. For potential non-student participants, their relevance was assessed based on their individual introductions (e.g. biographies, research interests, publications, and teaching) which were available on their HEI personal webpages; For potential student participants, they provided regarding their experience in student service roles. The author judged the relevance of their student service experience to CSR. The evaluation of the relevance of all evidence was based on the CSR concepts reviewed in the existing literature (see Section 2.1).

Recruitment	Sampling criteria (relevance to CSR)	Evidence
HEI's policymaker/executive	<ul style="list-style-type: none"> • Management experience (Required) • Knowledge (Expected) 	Individual introduction published on HEI personal webpage
(CSR) academic	<ul style="list-style-type: none"> • Knowledge (Required) • Management experienced (Expected) 	
Student representative	<ul style="list-style-type: none"> • Student service experience (Required) • Knowledge (Expected) 	Information on student service experience provided by potential participants

Table 3-1 Sampling criteria for recruiting participants

To provide flexibility for the participants to choose between an online interview or an in-person interview, priority was given to target participants working or studying at an HEI where the author was based. In the context of China, which is the third-largest country in the world (by area), this meant prioritising HEIs that were located in the same city and region of the author's residence. This recruitment commenced with the author introducing himself to target participants to make a connection, and was followed by arranging a time slot for an interview with them if they consented. These target participants were contacted through their publicly available contact details. During the whole period of the research fieldwork, the author also adopted snowball sampling by politely asking at the end of each interview whether the participant knew, or could recommend, any other people who would be interested in and suitable for this research.

All potential non-student participants were contacted in the first instance by email (see Appendix A) to invite them for an interview and outline the research and the interview themes. In terms of the student participants, the author's contact details were left on a post on the author's social media and given to the author's personal connections: Once a potential participant had accepted, the author sent them an email with a participant information sheet (Appendix B), a consent form (Appendix C) and a privacy notice (Appendix D) attached to confirm all the information about the interview with the participant.

The participants were free to choose the interview time and format according to their preference and availability (each interview lasted for one hour). Due to the Covid-19 pandemic, online interviews (e.g. using Zoom or Teams in the UK, and VooV Meeting in China) were considered the default option for hygiene reasons. However, a number of non-student participants preferred to have a face-to-face interview. This was mainly because they wanted to meet the author 'in real life' first to understand more about the author himself and his research in detail. If a participant chose to have a face-to-face interview, the author firstly confirmed whether this was acceptable under the Covid-19 rules of the relevant HEI at the time. If so, the author met the participant in person while observing social distancing and wearing a mask. If not, the author communicated with the participant to change the interview format. In addition, telephone interviews were considered to be an acceptable format and these were used when they were more convenient for participants.

The fieldwork was conducted during the period from November 2020 to December 2021, and 54 participants were involved in total. The categories of the participants are shown in Table 3-2.

Participant type	Region	Number of participants	Total number
HEI's policymaker/executive	UK	9	17
	China	8	
(CSR) academic	UK	8	17
	China	9	
Student representative	UK	6	20
	China	14	

Table 3-2 Number of participants by type and region

3.3.3 Interview question design

According to Easterby-Smith et al. (2018, pp.184–185) interviews can be structured at different levels, with highly structured interviews used in market research and unstructured interviews adopted in ethnography. When it comes to CSR, it is a concept that is relatively abstract and necessitates participants to engage in deeper reflection to connect SR with their own reality. In light of this, a highly structured interview format, which does not allow for in-depth contemplation, is not suitable for this research. Given the clear scope outlined by the research questions, which includes activities (both in practice and as perceived by stakeholders) and performance related to CSR in the HE sector, an unstructured interview would allow the interviewees to express their thoughts without any structure and with little interruption or intervention. This could lead to responses that would extend beyond the pre-set scope without necessarily addressing the main inquiries of this research. Therefore, neither of these options suited this research; the author decided to adopt a semi-structured interview design. By considering the research questions developed, interview themes, followed by specific interview questions, were generated. To encourage better responses to the interview questions, a warm-up question was included at the beginning of each interview. On the one hand, answering the warm-up question helped the interviewees to open their minds before approaching the specific interview questions; on the other hand, it enabled the author to understand more about the interviewees' particular concerns relating to CSR. This facilitated the process of getting useful information from the interviewees. Student representatives were expected to be much more familiar with issues around what CSR activities their HEIs are implementing and how they, as students, should be responsible for CSR by their HEIs than with the issues related to measuring and improving an HEI's CSR performance. Therefore, to focus on the most valuable information, they were asked to respond to only three interview questions (as opposed to five questions for HEI policymakers/executives and academics). Pilot interviews were conducted with a policymaker, an academic, and four students to ensure that every interview question was of a high enough quality to use in the research fieldwork. The finalised interview questions are shown in Table 3-3.

Research question	Interview theme	Question for HEI policymaker/executive (PE)	Question for academic (AC)	Question for student representative (STR)
<p>Warming-up question:</p> <p>Considering that my research title is corporate social responsibility in higher education: concept, content, improvement...</p> <p>For PE/AC – Could you please share your ideas or experience on CSR?</p> <p>For STR – Do you have any understanding of CSR? (Or could you please share your ideas or experience on social responsibility in general?)</p>				
RQ 1: What CSR activities are currently implemented in the HE sector?	Implementation	1. You mentioned..., do you manage any HEI project applying these? (How?)	1. You mentioned..., are you aware of any application of these in your HEI? (How?)	
		2. Could you please share something about your role in your HEI?	2. Could you please share something about your work in your HEI?	2. Could you please share something about your role in the student society of your HEI?
RQ 2: What aspect of CSR should be covered in the HE sector from stakeholders' perspective?	Stakeholder issue	3. What do you think your HEI ought to be responsible for its academic staff and students in your role?	3. What do you think your HEI ought to be responsible for you and your students in your role?	3. What do you think your HEI ought to be responsible for its students in your role?
	(Social) responsibility	4. Are there any other issues you think your HEI ought to be responsible for? (Why?)		
RQ 3: How could CSR performance be improved in the HE sector?	Measurement	5. Does your HEI measure the performance of the activities you mentioned above? (How?)	5. Have you seen any measures taken by your HEI for the performance of the activities you mentioned above? (How?)	N/A
	Improvement	6. Does your HEI do well in all (socially) responsible activities, or are there anything could be improved? (How?)		

Table 3-3 Interview protocol design for participants

3.3.4 Interview and transcription

As mentioned above, the three interview formats used were online interviews (42 participants), telephone interviews (1 participant) and face-to-face interviews (11 participants). The interviews were recorded after the participants gave their permission. For the online interviews, the application in which the interviews were conducted was used to record the content. For telephone and in-person interviews, a recording device (e.g. a smartphone) was used. The author also took notes in all interview formats.

Each recorded interview with a UK participant was transcribed directly, sentence by sentence, followed by reviewing the transcribed recording paragraph by paragraph and, finally, an overall review of transcript. For the recordings of interviews with participants in China, first, each recording was transcribed in full in Chinese. The next step was to translate the text into English. To ensure that the author was conducting the translation accurately, excerpts from the English version of different transcripts were randomly selected to form a 10-page document. This document was sent to a qualified translator for back-translation. The translated content was used to match the original content to consider the similarities and differences between them. The process of translating Chinese transcripts into English is shown in detail in Figure 3-2.

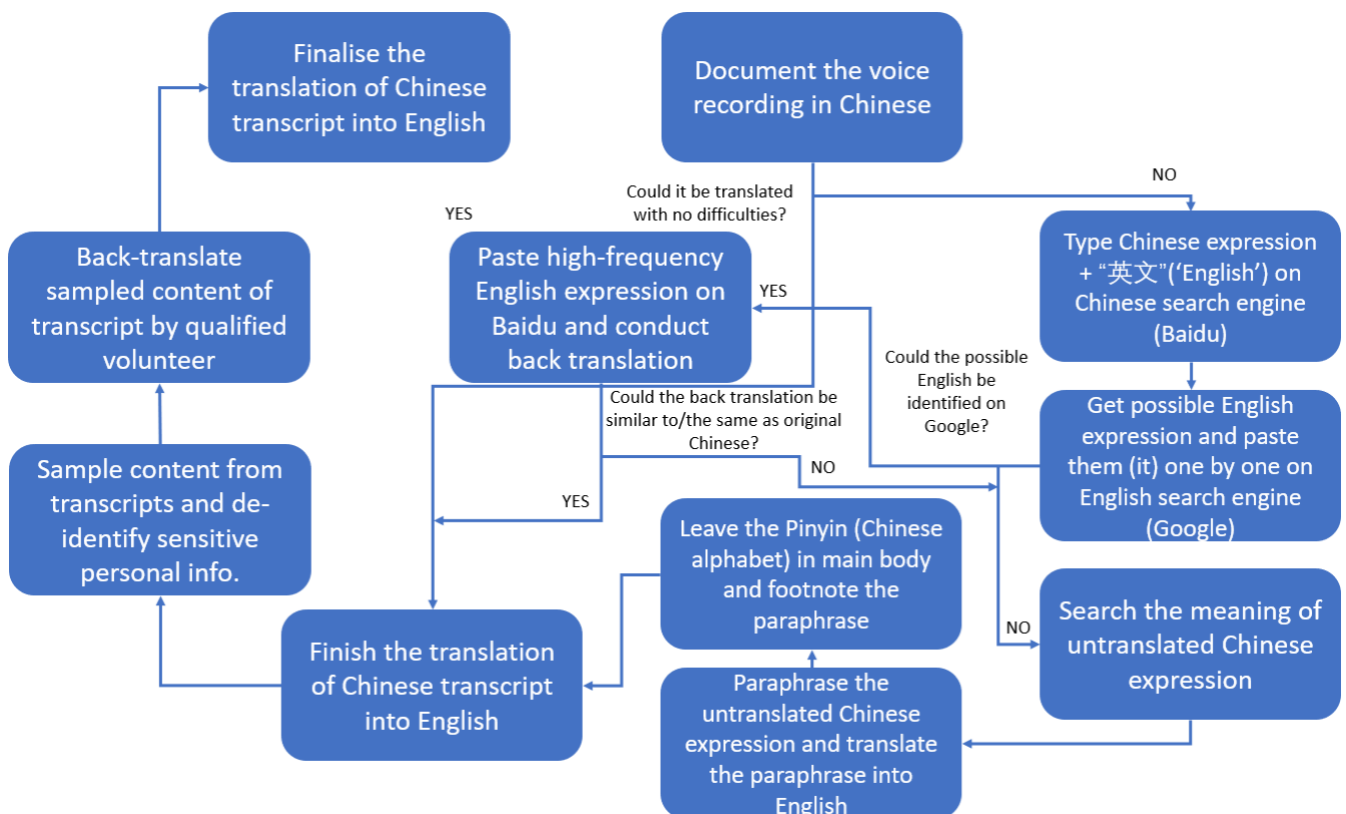


Figure 3-2 Translating Chinese transcripts into English

Each interview was transcribed in a timely manner so that the author could identify if it was necessary to recruit more participants. Considering the research questions, it can be understood that this research aimed

to explore the concepts, content and improvement of CSR in the HE sector. The aspects being explored aligned with “conceptually meaningful” and “practically useful” in Saunders et al.’s (2018, p.1899) statement on the purpose of saturation in narrative research. Therefore, the author chose the model of data saturation, which relates to the degree to which the new data repeat what has been expressed in previous data (Saunders et al., 2018, p.1897). Therefore, when the author identified that more and more of the interview content was similar to that of the previous interviews, the author stopped the recruitment process. Specifically, the author transcribed each interview on the same day it was conducted. During the transcription process, the data were organised in the format of “interview question - response”. Subsequently, the data were coded under the relevant interview themes. The repletion of data or similarity in the interview content mentioned above indicates that the newly collected data (interview content) did not contribute to the creation of new codes or enrich the existing codes. This consideration was addressed in two steps: firstly, it was determined that no new code could be generated by the newly collected data within each interview theme. Secondly, it was noted that the newly collected data did not introduce any new content to the existing codes. Despite considering ‘completeness’ to have been achieved, the author finished the rest of the interviews on the waiting list to respect the voluntary participation of all interviewees.

In the interviews, it was inevitable that the participants would share their personal experiences. The author considered these to be the participants’ “reality”, which cannot be ignored. The next step was to evaluate the relevance of the content of their experiences to the research topic. Some of this content, despite being interesting and rich, did not respond to any of the research questions set out in Section 3.1. This content was therefore not included in the analysis. In addition, the participants sometimes mentioned specific information about an organisation, event, etc. This identifying information was anonymised.

3.4 Data coding and analysis

In this section, the author describes how a thematic analysis was performed to analyse the data collected during the research fieldwork. This analysis was conducted by following the six phases of thematic analysis suggested by Braun and Clarke’s (2006) (see Table 3-4).

Phase	Description of the process
1. Familiarising yourself with your data:	Transcribing data (if necessary), reading and re-reading the data, noting down initial ideas.
2. Generating initial codes:	Coding interesting features of the data in a systematic fashion across the entire data set, collating data relevant to each code.
3. Searching for themes:	Collating codes into potential themes, gathering all data relevant to each potential theme.
4. Reviewing themes:	Checking in the themes work in relation to the coded extracts (Level 1) and the entire data set (Level 2), generating a thematic 'map' of the analysis.
5. Defining and naming themes:	Ongoing analysis to refine the specifics of each theme, and the overall story the analysis tells; generating clear definitions and names for each theme.
6. Producing the report:	The final opportunity for analysis. Selection of vivid, compelling extract examples, final analysis of selected extracts, relating back of the analysis to the research question and literature, producing a scholarly report of the analysis.

Table 3-4 Phases of thematic analysis (Braun and Clarke, 2006)

3.4.1 Familiarisation with the data

Before coding the data, ideally the whole data set should be read through at least once (Braun and Clarke, 2006). Note-taking and idea-marking practices can be followed during this process of familiarisation (Braun and Clarke, 2006). To begin with, each recorded interview was transcribed in a document. This was the first reading of the entire data set. Each transcript was then reviewed to check for any grammatical mistakes or absent sentence elements. This is to ensure that every sentence in the transcript can be correctly understood. This was followed by an in-depth review to highlight every sentence that could give the author an insight, and writing the reflection somewhere suitable. The aim of the fourth reading is to code the data. Considering the interrelatedness of the three research questions in this thesis, there were three cycles of reviewing the transcripts at this stage: one review cycle to explore the codes responding to each research question.

3.4.2 Initial coding

A number of software packages can be used to code and analyse qualitative data, a common example of these is NVivo. The author decided to perform the coding and analysis manually in Word documents and Excel spreadsheets. This was because, compared with quantitative research, in which the analysis is more reliant on the use of software, qualitative analysis is relatively flexible, and the author intended to manage the data in a way that would allow him to use it in a more satisfactory way. In practice, the author used mapping software and tables to visualise the data. Although the visualisation process was time-consuming, it enabled the author to present and analyse the data more effectively.

The coding process is part of the data analysis (Miles and Huberman, 1994); nevertheless, codes are different from units of analysis (themes), which in general have broader meanings (Braun and Clarke, 2006). According to Boyatzis (1998, p.63), codes are “the most basic segment, or element, of the raw data or information that can be assessed in a meaningful way regarding the phenomenon”. Furthermore, to some extent, the process used for the coding will depend on what type of theme – ‘data-driven’ or ‘theory-driven’ – the researcher expects to develop (Braun and Clarke, 2006). The codes and themes were expected to emerge from the data, meaning that the coding process would be data-driven. In practice, the data coding needed to respond to the interview themes presented in Table 3-3 (in Section 3.3.3): implementation, stakeholder issues, (social) responsibility, measurement and improvement.

According to Miles et al. (2014), this process can be divided into two stages: (1) first-cycle codes and coding; and (2) second-cycle coding – pattern codes. Two examples are provided here to represent these two stages in order.

Example one (first-cycle coding): when answering the question “Are there any other issues your university ought to be responsible for?”, the interviewee PE-CHN-6 added that the university he is working at may need to do more to improve educational opportunities and, subsequently, to improve the educational experience. Therefore, two codes – **improving education equality** and **improving educational experience** – were used to label the relevant data extract in the first cycle of coding (see Figure 3-3).

- So in the context of higher education, we may need to do more to improve the educational opportunity of different groups, esp. vulnerable groups, and subsequently, to improve the educational experience, i.e. making their access more meaningful.	- Improving educational equality - Improving educational experience
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Figure 3-3 Example one (initial coding) – first-cycle coding

Example two (second-cycle coding): the label **accreditation** was applied to extracts of the interview transcripts of the following participants: PE-CHN-1, PE-UK-1, AC-CHN-1, AC-CHN-2, AC-CHN-7, AC-UK-4, AC-UK-5, AC-UK-6, AC-UK-7. These data extracts were combined to provide a (more) complete

understanding of how participants, as stakeholders of their HEIs, thought about achieving accreditation by being socially responsible (see Figure 3-4 to Figure 3-12):

“The XX school of XX University is applying for the accreditation of EQUIS, and ERS is used as an important standard in this accreditation framework. Therefore, the XX school of XX University promotes CSR [for its own benefit] to achieve the accreditation of EQUIS.” (Source: PE-CHN-1, translated by the author)



Figure 3-4 Example two (initial coding) – second-cycle coding, data extract from PE-CHN-1

“We are doing some [applications for accreditation] in the business school... the AACSB accreditation is an issue [that] will have some impact on communities, social impact, environmental impact. So, we are having some issues. Because an accreditation is asking us to do so, we’re doing that.” (Source: PE-UK-1)

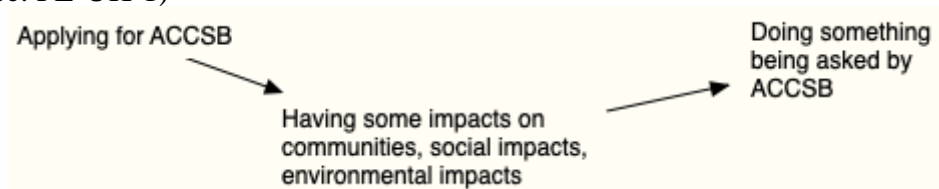


Figure 3-5 Example two (initial coding) – second-cycle coding, data extract from PE-UK-1

“Recently, our school is applying for EQUIS, which focuses more on social responsibility.” (Source: AC-CHN-1, translated by the author)

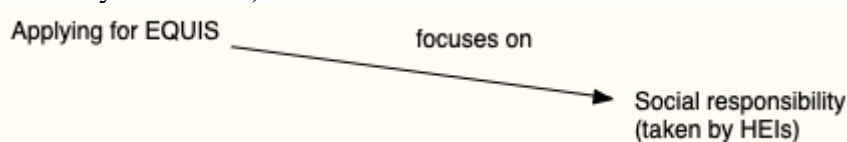


Figure 3-6 Example two (initial coding) – second-cycle coding, data extract from AC-CHN-1

“When I worked at Y, the university joined PRME, and related activities had to be reported. If the university doesn’t report for two years in a row, the accreditation is cancelled.” (Source: AC-CHN-2, translated by the author)

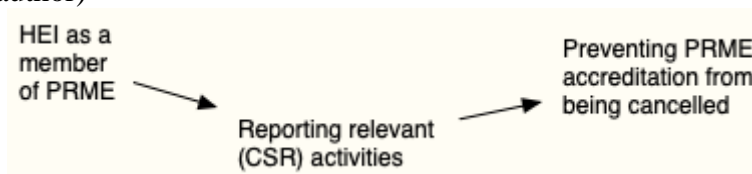


Figure 3-7 Example two (initial coding) – second-cycle coding, data extract from AC-CHN-2

“... and relevant international accreditation [of business schools] requires this kind of social responsibility. This can be referred to their reports.” (Source: AC-CHN-7, translated by the author)



Figure 3-8 Example two (initial coding) – second-cycle coding, data extract from AC-CHN-7

“... so we’re still kind of progressing, we’re still doing a lot [about social responsibility]. The university now like generally the school now is actually preparing for the AACSB accreditation.” (Source: AC-UK-4)

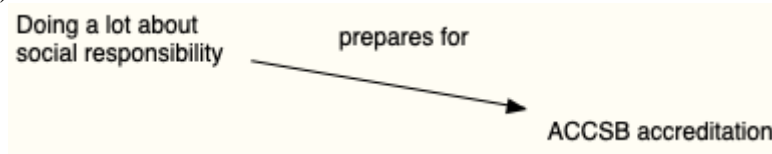


Figure 3-9 Example two (initial coding) – second-cycle coding, data extract from AC-UK-4

“So, that [accreditation] was the recognition for socially responsible behaviour, but it was beneficial to the university because if you look at the branding, the awards that are prominence, and all of it is just a win-win. For example, when I see a set of PowerPoints slide, it says, University of XX, and that’s been awarded because of what the university has done in terms of socially responsible behaviour.” (Source: AC-UK-5)

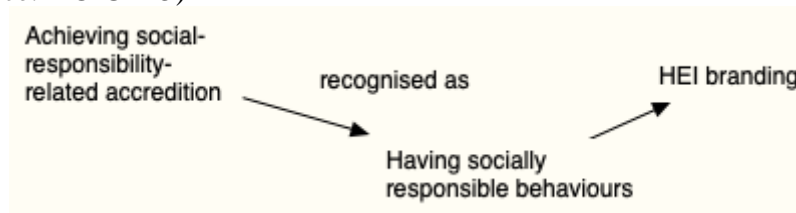


Figure 3-10 Example two (initial coding) – second-cycle coding, data extract from AC-UK-5

“And we’ve got one thing XX University did, they got the Athena SWAN award, which is something, I mean, I teach on the MBA, and I do interviews and induction stuff. I definitely get that badge job but it’s on my slides, because it represents doing something potentially, seem to be doing something good for the university.” (Source: AC-UK-6)

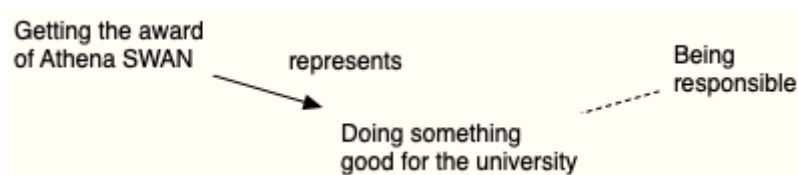


Figure 3-11 Example two (initial coding) – second-cycle coding, data extract from AC-UK-6

“And if they’re covering something like that [social responsibility] in their course, then they can put a logo [an accreditation badge], they can use one of the logos from the SDGs.” (Source: AC-UK-7)

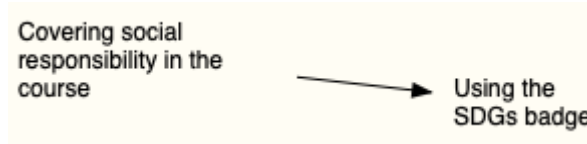


Figure 3-12 Example two (initial coding) – second-cycle coding, data extract from AC-UK-7

Example two (second-cycle coding) (continue):

Based on the cognitive mapping above, the following summary can be offered: the HEIs perform socially responsible actions to meet the standards established by the relevant assessment bodies (e.g. AACSB, EQUIS, PRME, Athena SWAN, and the SDGs) and therefore show that they behave in a socially responsible way. This can be beneficial for their branding. In addition, to avoid their accreditations being withdrawn, the accredited HEIs need to report periodically on the socially responsible actions they have taken. This summary underpins the definition and description of the code **accreditation** (see Figure 3-13).

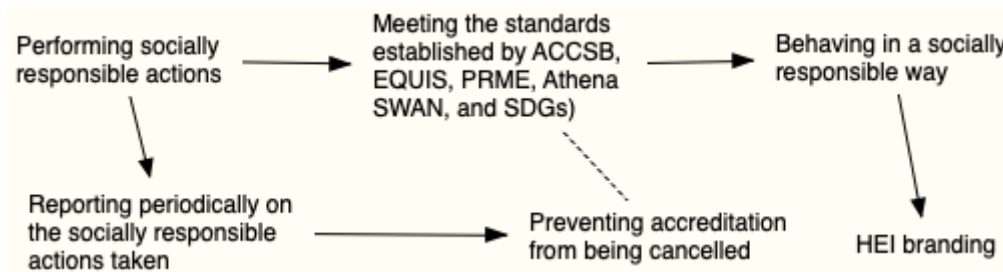


Figure 3-13 Example two (initial coding) – second-cycle coding, understanding the achievement of accreditation by being socially responsible

3.4.3 Searching for themes

Braun and Clarke (2006) state that this phase involves two tasks: sorting codes into themes, and collating the corresponding data extracts within the identified themes. To narrow down the codes, before identifying the initial themes, the author created sub-themes based on (sub-)codes, which involved collating data extracts to define and describe the corresponding (sub-)codes and then summarising each (sub-)code. Next, the initial themes were generated from these sub-themes. The following example shows the process of identifying the sub-theme ‘integration of SR into student cultivation’ (see Table 3-5). First, summaries for the codes ‘competitive individuals’, ‘ethical and responsible people’ and ‘global citizens’ were created on the basis of the corresponding definitions and descriptions. Then, by identifying the common characteristics of these briefs, the author generated an initial sub-theme, ‘integration of SR into student cultivation’.

Code	Definition/description	Summary	Identified sub-theme
Competitive individuals	Students are cultivated to be creative and skilful. These students are expected to develop professional knowledge, skills that will meet the job requirements of corporations, and skills that will meet the development needs of particular industries and even industrial sectors. Given the dynamic nature of socio-economic development, the HEIs ought to educate students with the most advanced knowledge available so that they can help to meet new social needs and solve new social issues. This cultivation enables the students to promote economic development and social progress; i.e. it enables them to be socially responsible.	Be responsible to cultivate students to be who can be competitive in society	
Ethical & responsible people	It is a development of an interrelated sense of ethics and responsibility in students. the HEIs ought to embed social purpose into their education to reach a higher degree of civilisation. Students whose sense of responsibility has been cultivated by their HEI as being able to meet ethical expectations and behave ethically. More specifically, the HEIs expect to cultivate students who will act responsibly at three levels: first, at the fundamental level, as responsible citizens who act responsibly as individuals by following social norms, accepting society's shared values, and not seeking to disrupt society; secondly, as responsible employees who act on their sense of commitment and professionalism; and, thirdly, as responsible leaders who can make responsible decisions as organisational representatives, leading their organisation be more responsible. Overall, this form of cultivation increases students' motivation to be more socially responsible.	Be responsible to cultivate students to be who have an interrelated sense of ethics and responsibility in society	Integration of SR into student cultivation
Global citizens	Students are cultivated to be someone who can recognise what sort of world they are going to be working in and consider what can be done to make the world a better place.	Be responsible to cultivate students to be who have a global concern in society	

Table 3-5 Example of searching for theme

3.4.4 Reviewing the themes

According to Braun and Clarke (2006), an initial theme may turn out not to be practical (e.g. sufficiently supported or centred) to report on in reality, or its meaning may be incomplete or too rich as a theme. Therefore, the initial themes created need to be reviewed to ascertain if they work at two levels: that of the data extract, and that of the entire data set (Braun and Clarke, 2006). Given that each theme has a direct relationship with its affiliated sub-themes, the initial sub-themes also need to be reviewed at a micro level. In practice, the task in this phase can be interpreted as that of reviewing the initial (sub-)themes for coherence (whether the theme can tell a logical, consistent story) and the number of codes covered (which may be too few or too many to support a (sub-)theme). The following three examples clarify how this review was conducted in practice.

Example one ('too complex'): The codes 'learning support' and 'health support' under the sub-theme 'supporting community development' were separated from the sub-theme 'taking on civic responsibility'. The latter sub-theme initially included some external HEI activities relating to education and public health that were considered to be the same as 'learning support' and 'health support' for the community. However, when analysing the data, the author identified that the initial story was 'too complex': in the case of supporting community development, the HEIs target their support at specific community groups; while in the case of taking on civic responsibility, the target groups are relatively 'vague' and can always be summarised as 'the public'. The detailed findings on this are presented in Section 4.3.

Example two ('too few'): A number of participants addressed improvements that were specific to climate change. Considering that 'climate change' is a topical global issue, the author initially separated 'climate action' as a theme responding to "How could CSR performance be improved in the HE sector?" However, it was identified that, in this case, the data were not rich enough to support the two sub-themes of initial theme 'climate action': 'climate targets' and 'climate solutions'. A similar situation occurred in relation to another initial theme: 'resource efficiency'. Therefore, the themes 'climate action' and 'resource efficiency' were grouped as sub-themes under a newly created theme: 'improving the HEI's environmental impact'. The detailed findings are presented in Section 6.2.

Example three ('too many'): Initially, there were only two sub-themes under the theme 'the HEI's motivation for being socially responsible', which responded to the question "What aspects of CSR should be covered in the HE sector from stakeholders' perspective?" These two initial sub-themes were 'intrinsic motivation' and 'extrinsic motivation'. The author identified that the initial sub-theme 'extrinsic motivation' covered eight codes, while the sub-theme 'intrinsic motivation' covered two codes. In reviewing the eight

codes under the initial sub-theme ‘extrinsic motivation’, the author recognised that the codes could be divided into two groups: (1) positive – the motivating factors linked to HEI benefits resulting from being socially responsible; and (2) negative – the motivating factors linked to avoiding ‘punishment’ for not being socially responsible. Therefore, this initial sub-theme was separated into two new sub-themes – ‘positive extrinsic motivation’ and ‘negative extrinsic motivation’. Although this separation resulted in six codes being grouped under the sub-theme ‘positive extrinsic motivation’ and two grouped under ‘negative extrinsic motivation’, this still seems to be more balanced than the initial categorisation. The detailed findings are presented in Section 5.2.

3.4.5 Defining and naming themes

As specified by Braun and Clarke (2006), the aim of this phase is to define and further refine the themes by identifying the ‘essence’ of each theme and that of the themes overall. The author identified that some of the themes had been categorised appropriately but had not been named appropriately when attempting to define them. For example, the sub-theme ‘philanthropic behaviour’ was initially named ‘charitable body’, inspired by a description on an HEI’s official website. However, a further review of the literature (see Section 2.2.2) on organisational philanthropy revealed that some scholars referred to it as a business strategy. Furthermore, as summarised in Section 2.2, since the 1980s the definition of CSR was extended to cover strategy. Therefore, this initial theme was renamed ‘philanthropic behaviour’ to define CSR in a more strategic way.

3.4.6 Producing the report and use of thematic maps

Chapters 4 to 6 report on the data analysis in the order of the three research questions. In each data analysis chapter, thematic maps are included at three levels: macro (showing the research question and the relevant themes developed); meso (presenting a theme and the relevant sub-themes developed); and micro (to visualise a (sub-)code under the related sub-theme). Each chapter includes tables with statistical information on the codes and sub-codes under each sub-theme; these tables present the data on the number of participants who mentioned each (sub-)code and/or the number of extracts that are relevant to each (sub-)code, in total as well as by country (China and the UK) and by role (HEI policymakers/executives, academics, and students). To respond to the research questions, these chapters also contain narrative text about each code (and sub-code, where these exist), narrative maps for selected codes (or sub-codes), discussion of compelling quotations from the participants, and summaries combined with a mega-map of all the codes and sub-codes, and tables.

Table 3-6 presents some examples of how shapes and text fonts are used in each thematic map:

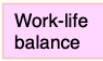
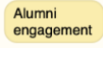
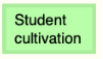
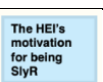
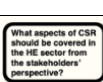
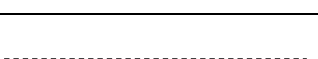
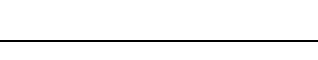
Symbol	Feature	Operation/Function
	Square box containing text	To present a sub-code
	Round box containing text	To present a code
	Bold square box containing text	To present a sub-theme
	Bold square box containing text in bold	To present a theme
	Bold round box containing text in bold	To present a research question
	Dotted line	To present a mutual relationship between two items
	Unidirectional arrow	Responded to, contribute to ...

Table 3-6 Symbols used in thematic maps

3.5 Evaluating the research

According to Lincoln and Guba (1985), research is evaluated against four criteria: credibility, transferability, dependability and confirmability. In the following sections, explanations are provided on how the relevant aspects of these criteria were used to evaluate the present research.

3.5.1 Credibility

Credibility is about how confident the researcher can be about the truthfulness of his or her findings (Lincoln and Guba, 1985). Firstly, the truthfulness of a researcher's findings depends on the truthfulness of the information provided by the respondents, which requires the researcher to apply the technique of prolonged engagement. In the author's research fieldwork, this engagement happened prior to, during and/or after each interview. In the initial contact inviting each potential respondent to take part in the research, the author stated, "Please let me know if I can provide you with any further details or if you need to discuss any concerns with me via [xxx@research.gla.ac.uk]". This statement increased the possibility of spending additional time engaging with potential interviewees. Further contact facilitated to reduce the possibility that interviewees would provide irrelevant information during the interviews due to a misunderstanding or an insufficient understanding of the research. Additionally, if any of the potential interviewees had expressed confusion about the information provided in the invitation letter, the author might have needed to reflect on the content of the information about the research and amend it for clarification to avoid confusion among other potential interviewees. In one case, although the potential

interviewee declined the invitation due to her rejection of the existence of CSR in the HE sector (on the basis of 'C' standing for 'corporate' in the business world), she suggested that the author do some more preparation for participants to further introduce the idea of researching HE through the lens of CSR.

Shortly before the interview, the author visited the participant's public profile to understand the participant in depth, e.g. what they were working to achieve in terms of CSR, and what areas of CSR they were interested in. The author also got to know more about some of the participants through their published CSR work, such as awareness campaigns and publications about CSR. In this regard, the author read through their representative publications and current publications (if any) and their posts about CSR on social media (if found) during the author's fieldwork.

During the interview sessions, before asking the 'official' interview questions, the author asked each interviewee a warm-up question (see Table 3-3) to understand what CSR meant for them. In addition to this, the author gave the interviewees the opportunity to briefly introduce themselves in the beginning if they were willing to. In addition, asking participants to introduce themselves was especially helpful for the interviews with the student participants, as most of them did not have a public profile, and their social media accounts were not easy to find.

After each face-to-face interview on the same day, the author would invite the interviewee to walk with him around the campus and introduce their HEI. In some interviews, these interviewees (especially HEI policymakers and executives) talked about CSR activities they were managing on campus. When they could show how these worked in practice, it gave the author a deeper understanding of the data collected. Even when there was no one to act as a guide, the author would take a walk around the campus on the same day as the face-to-face interview, focusing on what CSR activities had been mentioned in that interview.

Prior to research fieldwork, the author also considered to enhance credibility of this research. Based on the sample population determined in Section 3.3.1, the data sources are expected to cover HEI policymakers and executives, CSR academics, and students representatives in China and in the UK. Because many of the networks of the author and his supervisors were local, despite prioritising local participants (see Section 3.3.2) the author also welcomed participants from other areas. While searching for publicly available contact details, the author consulted the websites of not only business and management schools¹ but also schools of education, engineering, etc. In addition, if a participant provided any compelling examples of CSR activities in their HEI, at the end of the interview the author asked the participant if they could recommend any relevant materials (e.g. reports) on the activities mentioned. Even if they could not provide

¹ CSR is mainly a subject area related to schools of business and management.

any recommendations, the author would attempt to search for the relevant information on the HEI's website. The author used this information to supplement the interview data.

In addition to noting compelling examples of CSR activities, the author noted any points of confusion and asked follow-up questions to check his understanding and, if necessary, to ask the interviewee to explain during the interview. At the end of each interview, the author explained that the interviewee could ask for a recording or transcript of the interview if they wanted to, but none of the participants asked for this in practice. After finishing the design of this research, the author conducted pilot interviews prior to starting the 'official' interviewing (see Section 3.3.3) to ensure the quality of the interview questions by using some of the data collected from the pilot interviews to test the validity of the findings.

3.5.2 Transferability

Transferability refers to the applicability of findings in other contexts (Lincoln and Guba, 1985). According to Lincoln and Guba (1985), these contexts can be other times, other settings, other situations and other people. In the data analysis chapters, some statistics are reported. These numbers are provided to indicate the number of participants and/or occurrences in the contexts of different countries (China and the UK) or positions (HEI policymakers/executives, CSR academics, student representatives) mentioning the same issue, i.e. the same (sub-)code. The degree of transferability can also be evaluated by comparing the number and/or the occurrence of the same mention in different contexts. In particular, the author addressed some specific content that emerged in one group of participants only, such as the mention of "teaching and educating people" among the participants from HEIs in China.

3.5.3 Dependability

Dependability demonstrates the consistency and repeatability of the findings (Lincoln and Guba, 1985). In each interview, the author as an interviewer only asked the participants interview questions as listed in Table 3-3, and used their own answers to underpin the following questions to ask. These answers were also applied in asking further questions in other interview(s). All answers provided by the participants were made sure to keep the records and follow a specific procedure in the data analysis as stated in the following paragraphs in this section.

For the data from each participant, a file was created in which to store all the related documents, including the audio recording, the interview transcript, the initial coding and a consent form. Each file was named individually with a label consisting of letters and numbers representing the participant's position, country,

and interview number (see Section 3.4.2 for details). In each transcript, in addition to the raw data in text format, the author included a brief biographical introduction about the interviewee, some highlights of data with thoughts about the interviewee's words, and the labels of the initial coding. The purpose of the initial coding document was to arrange data chunks and (initial) codes one by one under the relevant research questions. This kind of careful coding allows repeating data analysis and therefore decreases the chance of reaching random, undependable results for the author as a researcher.

The following step was to create separate documents for combining data from multiple participants by research question, each of which contained all data chunks with their own label and initial code under the same research question. All data chunks were re-coded by comparing and merging similar codes. This sorting process produced codes for statistical information and thematic analysis. Excel spreadsheets were created to calculate the number of mentions under each code and the frequency of occurrences of relevant content by interviewee label (position, country). The sorted data were put into a mind-mapping tool (Scapple) to map the content (data chunks) for the purpose of constructing the meaning of each code. Together, the maps of the (sub-)codes constructed the meaning of each theme, which shaped/determined the response to each research question, and screenshots were taken of the maps to use as images. These maps are also described in the data analysis chapters.

Together with the process notes presented in this chapter, the documents mentioned above provide information for an audit trail covering the raw data (audio recordings, transcripts, initial coding and consent forms), data reduction and analysis products (initial coding documents and data sorting), and data reconstruction and synthesis products (Excel spreadsheets, images of the mapping content, descriptions of the maps).

3.5.4 Confirmability

Confirmability states a degree of neutrality or the extent to which the findings are shaped by the respondents without any bias, motivation or interest of the researcher (Lincoln and Guba, 1985). The mentioned effects could arise during the data collection or analysis process. As noted by Easterby-Smith et al. (2018, p.189), interview bias can occur while collecting data. To mitigate this, open questions are recommended. In this regard, probes are suggested as a useful technique for intervention. Table 3-7 provides a comprehensive list of all probe types as introduced by Easterby-Smith et al. (2018, p.190), along with examples of application in the author's research fieldwork.

Probe type	Typical example from interview
<p>Basic probe – simply repeating the initial question</p>	<p>During one interview, when discussing environmental issues, the interviewee reminisced about his childhood when the environment was much cleaner. While interesting, this memory did not directly relate to the research. To redirect the conversation, the interviewer intervened by saying “Wow, this is very interesting, you must have had many happy moments at that time. Maybe you can share more about this after this interview. So, in terms of environmental issues in the university we were talking about earlier, do you have any other things to share?”</p>
<p>Explanatory probe – building onto incomplete or vague statement made by the respondent</p>	<p>In one interview, when discussing the ways to improve higher education, the interviewee mentioned a term, “Po Wu Wei” (a Chinese abbreviation, translated by the interviewer), specific to the HE sector. To ensure a clear understanding of the interviewee’s response, the interviewer asked, “How can HE be improved by ‘Po Wu Wei’? Could you explain how it works?”</p>
<p>Focused probe – obtaining specific information</p>	<p>In one interview, when discussing CSR activities implemented in HE, the interviewer just mentioned about CSR-related courses. However, since CSR encompasses various SR issues, and there are different types of courses in universities, the interviewer sought specific information by asking, “What CSR-related content is taught? And what kinds of courses you are referring to?”</p>
<p>Silent probe – being used when respondents are either reluctant or very slow to answer the question posed</p>	<p>The relevant situations often happened when the conversation started to involve the negative issues (i.e. irresponsibility) of the university. At such a moment, the interviewer would break the ice by saying something like “Your voice sounds thirsty, how about drinking some water so that we can move on to another question?”</p>
<p>Drawing out – being used when interviewees have halted or dried up</p>	<p>When discussing the reasons why HEIs should be socially responsible, some interviewees mentioned about achieving accreditation (e.g. EQUIS, AACSB). However, their explanations lacked coherence in justification. To delve deeper, the interviewer asked a follow-up question in common, “Why do you think achieving accreditation associates with CSR in HE?”</p>
<p>Giving ideas or suggestions – offering the interviewee an idea to think about</p>	<p>In one interview, the interviewee listed various items, including seats, publications, digital resources, etc. related to the students’ learning and development. All of these items could be categorised as library resources. To ensure the interviewee’s intention, the interviewer asked, “Are you referring to library resources?”</p>

<p>Mirroring or reflecting – expressing in my own words what the respondent has just said</p>	<p>In one interview, when discussing the responsibility of HEIs towards academic staff, the interviewee mentioned the high cost of housing price in a major city (where the university is located). Despite not directly answering the question, interviewer sought confirmation by asking, “What you seem to be saying is that the HEIs should be responsible for their academic staff’s residence, isn’t it?”</p>
<p>Note: The pilot interviews were very helpful in avoiding bias in the fieldwork. As an example, in a pilot interview, the interviewer had an expectation the interviewee, who worked at the same university, would mention the use of recycle cups as they had become popular at that time. However, the interviewee did not bring it up. To probe further, the interviewer asked, “Do you think recycle cups can be an example of CSR activities in HE?” In the feedback, the interviewee pointed out that it was a leading question that should be avoided. Instead, the interviewer could have asked open-ended questions such as “Are there any other examples about this sort of CSR activities?” (which relates to the “explanatory probe” as below)</p>	

Table 3-7 Applying probes in research fieldwork

In addition to the data collection phase, the process of data analysis can also be subject to certain influences. To mitigate these effects during data analysis, the primary focus was on maintaining the integrity of the original data. Firstly, in analysing the data, the author made every effort to preserve the original content in its entirety. Secondly, as illustrated in the micro-level thematic maps, the arrows representing connections were drawn based on the original logical flow of the interview content.

Further, the data analysis for RQ1 was redone multiple times, allowing for sufficient time gaps between the data analysis at each round to identify potential biases in analysis, and to avoid these in analysing RQ2 and RQ3.

3.5.5 Summary

All the criteria suggested by Lincoln and Guba (1985) have been evaluated. To summarise, the credibility of the author's research was enhanced by applying the technique of "prolonged engagement" (Lincoln and Guba, 1985): giving potential participants a chance to further contact (even if they would not participate in interviews); engaging with relevant information of the participants in depth (e.g. their public profile, publications and social media use); understanding the participants' interest in relevant topics (which, in the context of this research, are in relation to CSR) and challenging their own preconceptions of these topics in the session of asking warming-up question (with a brief self-introduction of the participants if possible); inviting the participants (who had taken part in face-to-face interview on the same day) to walk round the campus with the author to further understand relevant information they provided in the interview - This is an application of "persistent observation" (Lincoln and Guba, 1985).

To enhance the credibility of this research, the author also considered "triangulation" (Lincoln and Guba, 1985), sought a chance to do "member-checking" (Lincoln and Guba, 1985), and applied the technique of "referential adequacy" (Lincoln and Guba, 1985). In practice these were done by: triangulating the data sources from the same population to cover HEI policymakers and executives, CSR academics, and students representatives from (different schools of) different HEIs in China and in the UK – "triangulation"; asking the participants to explain the provided information which confused the author in the interview and giving the participants a chance to review the information provided – "member-checking"; using some of the data collected from the pilot interviews to test the validity of the findings – "referential adequacy".

Lastly, the transferability of this research was examined by indicating the number of the number of participants and/or occurrences in the contexts of different countries or positions mentioning the same issue; while, by applying the technique of "audit trail" (Lincoln and Guba, 1985) – keeping the records of

participants' answers provided through a process attached to a designed interview protocol and following a specific procedure in the data analysis (as detailed in Section 3.5.3), the dependability of this research was enhanced. The confirmability of this research was mainly strengthened by using probes as an intervention technique.

Chapter 4: Data analysis and findings: current CSR implementation in the HE sector

4.1 Introduction

The analysis presented in Chapters 4, 5, and 6 was based on the interview data collected from HEI policymakers/executives, (CSR) academics, and student representatives in the HEIs in China and the UK. The sampling criteria for recruiting these participants can be derived from Table 3-1 in Section 3.3.2.

On the basis of the data analysis, the responses to the research question “*What CSR activities are currently implemented in the HE sector?*” can be categorised into two main themes (see Figure 4-1), which are discussed separately in this chapter. The responses categorised under the first theme, ‘Responsible campus development by HEI’, are analysed in Section 4.2. The responses categorised under the second theme, ‘HEI as a responsible member of society’, are discussed in Section 4.3. The chapter concludes with a summary of the data analysis (Section 4.4). [The symbols used in thematic maps are explained in Chapter 3, Table 3-6, p.69]

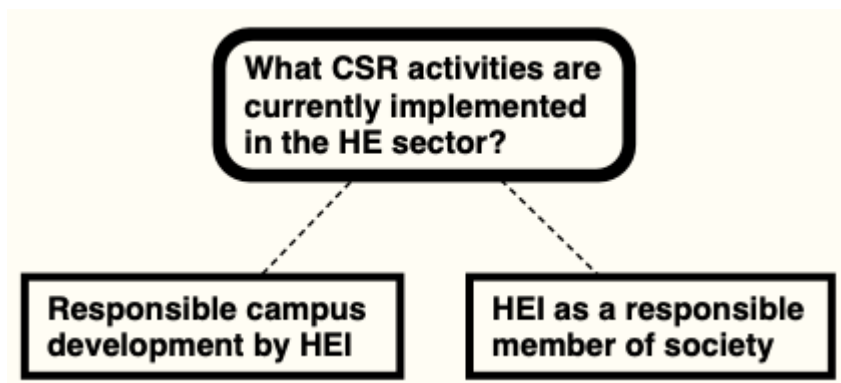


Figure 4-1 Macro-level thematic map for RQ1

4.2 Development of responsible campus

The data analysis revealed that the participants noticed activities on campus that can be categorised as CSR implementation. These activities are grouped into five main sub-themes (see Figure 4-2). The first of these, **responsible education provision**, includes implementation that contributes to the provision of responsible education. Similarly, the second sub-theme, **undertaking responsible research**, covers implementation that contributes to responsibility in research. In response to current widespread concerns about environmental issues, the participants’ HEIs are putting effort into **developing a green campus**, the third sub-theme. To meet the needs of academic staff and students as important stakeholder groups, HEIs are also acting as a **responsible employer** and a **responsible student supporter**, the fourth and fifth sub-themes.

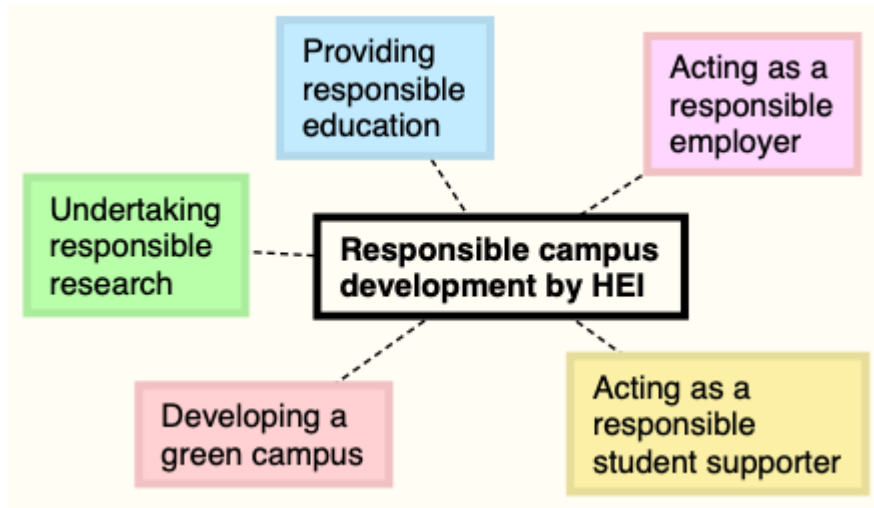


Figure 4-2 Meso-level thematic map for RQ1 (responsible campus development by HEI)

Table 4-1 shows the sub-themes, codes and sub-codes assigned to the responses under the main theme of **responsible campus development by HEI** and the number of participants who mentioned these, drawing on their experiences. Overall, analysing the combined responses of participants in China and in the UK shows that the following codes were applied to the topics mentioned by most participants (from most to fewest): **RSS-provision of practical opportunities** (with the sub-code ‘volunteering’ mentioned most); **RSS-welfare support** (with the sub-code ‘health support’ mentioned most); **responsible course content** (with the sub-codes ‘SR-embedded academic course’ and ‘SR-related academic course’ mentioned most); **RSS-career development support** (with the sub-code ‘preparation assistance’ mentioned most); **responsible research content**, **RSS-improving the learning experience** (with the sub-code ‘improvement of learning conditions’ mentioned most); and **environmentally friendly transportation**. In the sections that follow, the analysis of the topics mentioned by most participants is provided in the narrative text with corresponding maps. The analysis of the topics mentioned by fewer participants is presented in the narrative text, and the relevant maps are provided in Appendix E.

When comparing the responses from the two countries studied, among the participants from HEIs in China the following topics were mentioned by most participants (from most to fewest): **RSS-provision of practical opportunities** (with the sub-code ‘volunteering’ mentioned most), **RSS-welfare support** (with the sub-codes ‘health support’ and ‘living support’ mentioned most); **RSS-career development support** (with the sub-code ‘preparation assistance’ mentioned most); **RSS-learning experience improvement** (with the sub-code ‘improving the learning experience’ mentioned most); and **responsible course content** (with the sub-code ‘SR-related academic course’ mentioned most). These were followed by (with an equal number of participants) **responsible research content**, **RE-welfare support** and **RE-career support** (with the sub-code ‘development support’ mentioned most).

Among the participants from HEIs in the UK, the topic mentioned by most participants was **responsible course content**, with the sub-code ‘SR-embedded academic course’ mentioned by most participants. This was followed by both **environmentally friendly transportation** and **RSS-welfare support** (with the sub-code ‘health support’ mentioned most). Next, from most to fewest participants, were **RSS-provision of practical opportunities**, **responsible research content**, **RE-work support** (the sub-code ‘research support’ was mentioned most) and **RSS-career support** (with an equal number of participants mentioning the code RE-work support); the sub-code ‘preparation assistance’ was mentioned most).

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)	N of ppl talking ab it (CHN)	N of ppl talking ab it (UK)	
Providing responsible education	Framework for responsible education	-	2	1	1	
	Responsible educators	-	3	0	3	
		SR-related academic courses	-	7	4	3
	Responsible course content	SR-embedded academic courses	-	13	8	4
		SR-related training courses	-	1	0	1
Undertaking responsible research	Responsible researchers	-	2	0	2	
	Responsible research content	-	9	4	5	
	Ethical supervision	-	1	0	1	
Developing a green campus (EF = environmentally friendly)	Green environment	-	2	2	0	
	Environmental promotion	-	3	0	3	
	EF construction & facilities	-	3	0	3	
	EF items	-	3	0	3	
	EF working practices	-	4	1	3	
	EF transportation	EF travel	-	7	4	0
		EF supply chains	4	0	4	
Acting as a responsible employer	Welfare support	Health support	5	3	2	
		Respect	2	4	1	
	Pay rises	-	1	0	1	
	Work support	Research support	5	4	1	
		Teaching support	1	1	0	
	Career support	Development support	5	4	3	
Improvement of evaluation		1	4	1		
Acting as a responsible student supporter	Welfare support	Health support	12	8	4	
		Living support	16	7	9	
		Respect	3	5	1	
	Improvement of learning experience	Improvement of learning environment	8	3	5	
		Skills development	2	6	1	
			2	1	1	

	Volunteering	15	12	3
Practical opportunities provision	Research activities	25	6	19
	Internships & placements	6	3	6
	Entrepreneurship	3	3	0
	Career-related preparation assistance	9	5	4
Career support	Employment opportunities	12	3	8
	Support for alumni	2	1	1
	Average	6.45	3.15	3.3

Table 4-1 Statistics for sub-themes and (sub-)codes: responsible campus development by HEIs

4.2.1 Responsible education provision: responsible educational framework, responsible educator, responsible course content

In practice, the participants identified that responsible education is provided by responsible educators, delivered through responsible course content that is created under a responsible educational framework. In terms of overall structure, few participants stated that their HEIs develop a **framework for responsible education [code]** to underpin their provision of responsible education. To do so, they conduct research to explore what students think about SR and sustainability; on this basis, they design their educational activities to incorporate responsibility. According to one participant's experience in the workplace, this educational framework was developed on the basis of *PRME* (AC-CHN-2). A **responsible educator [code]** is a member of academic staff who is engaged in teaching subjects related to responsibility, such as SDGs. Drawing on their understanding of academic staff members' interests in SDGs and the differences among the courses they teach, few HEIs map SDGs to particular courses. These HEIs encourage their academic staff to include SDGs in the course content, which in turn contributes to achieving their SDGs.

From a micro perspective, responsible education refers to the content that students are taught about responsibility. A few participants stated that their HEIs deliver **responsible course content [code]** to students in three main ways: (1) by providing students with academic courses which are socially responsible; (2) by embedding content related to SR into course curriculums; and (3) by providing students with relevant training courses that familiarise them with SR. Research fieldwork identified that the business schools are the pioneers in providing students with **SR-related academic courses [sub-code]** (see Figure 4-3) that include both theory and case studies, most of which focus on business ethics and CSR. Several participants stated that their business schools have extended this provision by offering relevant courses on environmental aspects of responsibility (e.g. environmental protection) and the social role of business (e.g. social entrepreneurship).

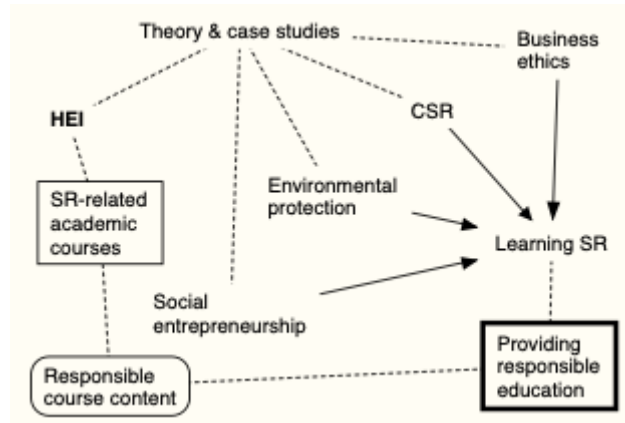


Figure 4-3 HEI's provision of SR-related academic courses

A few of these HEIs also incorporate SR into some of their existing academic courses; this type of course is referred to as an **SR-embedded academic courses [sub-code]** (see Figure 4-4). In practice, HEIs usually embed SDGs into the simulation aspects of these courses, which enables students to tackle real problems by making decisions and developing strategies on sustainability and CSR as key stakeholders to achieve SDGs. SR is also embedded through the inclusion of case studies on responsible corporate behaviour and a module on sustainable development.

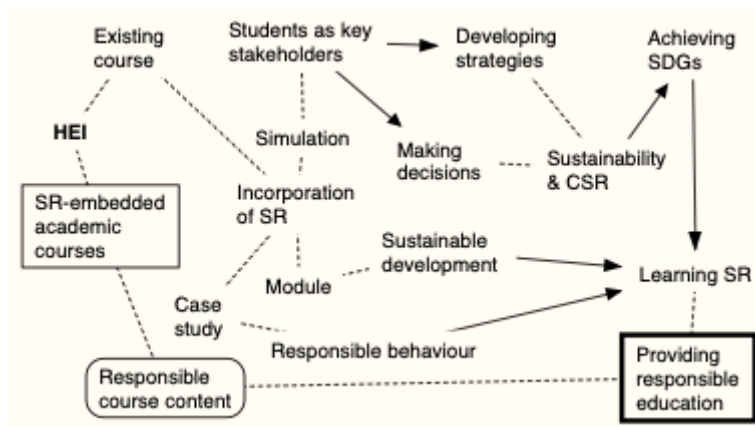


Figure 4-4 HEI's provision of SR-embedded academic courses

Many of HEI's foundational courses had not originally been designed to include the teaching of SR. Some of the participants shared their experiences of adopting a case study approach to teaching SR as part of a foundational course:

“Like financial management, we integrate this kind of [socially responsible] education into a relevant pattern [of the course]. For example, we disclose the actions of financial infidelity in the course. This can educate students to avoid this kind of wrongdoing when they work in corporations.” (Source: AC-CHN-1, translated by the author)

In addition to academic courses, the participants' HEIs provide students with opportunities to improve their SR-related literacy through **SR-related training courses [sub-code]**. For example, in response to climate change, HEIs may introduce carbon literacy training to all students. One HEI outlines the detail of this training course on its website as follows:

“More than 5,000 students will learn about the carbon intensity involved in everyday activities like travel, energy use and food consumption, and how to reduce emissions individually as well as across organisations and systems. They will have the opportunity to complete follow-up training with The Carbon Literacy Project to earn a Carbon Literacy certification.” (Anonymous, 2022)

Based on the data analysis above, Figure 4-5 presents a map including three codes related to responsible education provision:

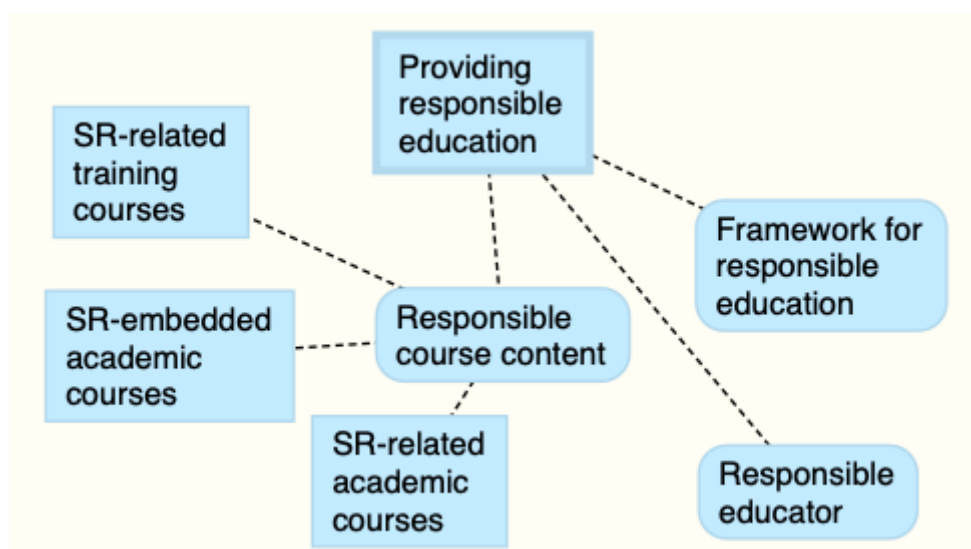


Figure 4-5 Micro-level thematic map for RQ1 (responsible educational provision by HEIs)

4.2.2 Undertaking responsible research: responsible research content, responsible researchers, ethical supervision

Under the supervision of an ethics committee, responsible research is undertaken by responsible researchers in projects with responsible research content. A **responsible researcher [code]** is an HEI's academic staff who conducts responsible research. A few participants stated that their HEIs encourage their research staff to engage in research activities related to sustainable development so that they can consider the sustainability implications of the research they conduct.

A few HEIs encourage researchers to include **responsible research content [code]** (see Figure 4-6). This includes research on topics that are related to CSR or which engage with SDGs, and research that has a target related to (the welfare of) disadvantaged groups or socially deprived areas, resulting in positive community change or positive social change.

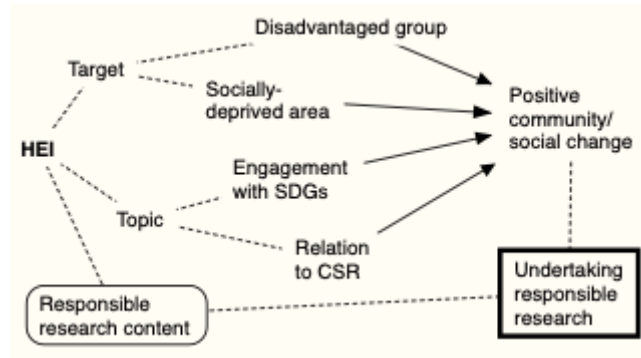


Figure 4-6 HEI's responsible content in research

Regarding SDGs, one HEI (AC-UK-4) is highly involved in international collaborations with low- and middle-income countries. According to a statement on HEI's website (Anonymous, 2022), this collaboration takes place through a research network, which aims to address global challenges by promoting dialogue and partnerships between researchers, governments, multilateral institutions, and communities through research related to SDGs. It can be evidenced that engaging with SDGs in research enables HEIs to make a global impact.

In general, to ensure good practice in research, HEIs have set up ethics committees that provide **ethical supervision [code]** of the processes followed by their researchers. According to the website of one HEI, the ethics committee supervises research practices that involve human subjects; the protection and retention of research data; and the protection of children and vulnerable groups as research participants (Anonymous, 2022).

Based on the data analysis above, a map covering three codes relating to HEIs undertaking responsible research is shown in Figure 4-7:

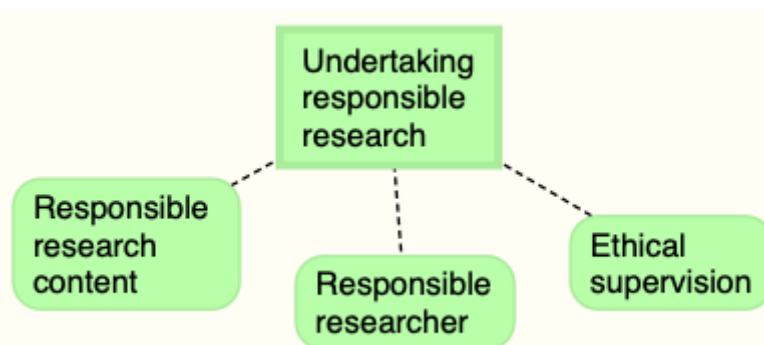


Figure 4-7 Micro-level thematic map for RQ1 (HEIs undertaking responsible research)

4.2.3 Developing a green campus: green environment, environmental promotion, environmentally friendly construction and facilities, environmentally friendly working practices, environmentally friendly items, environmentally friendly transportation

‘Developing a green campus’, initially can refer to making HEI greener in appearance. The promotion of the environment on campus is also a contribution to developing a green campus. Individual items, facilities, and buildings are required to be environmentally friendly. The movement of people around the campus, and even the impact of their movement on the wider world, are also required to be environmentally friendly. In particular, the participants mentioned that HEI’s employees are encouraged to follow environmentally friendly practices at work. A **green environment [code]** is a basic requirement for developing a green campus. For example, HEIs grow plants to give the campus the appearance of a well-kept park:

“Our campus is filled with green, and then our students can study in a nice environment and feel in a good mood. For example, the plants at the top of a hill on campus are grown by our students in different majors.” (Source: PE-CHN-2, translated by the author)

To develop a green campus, HEIs engage in **environmental promotion [code]** activities online and offline. Online environmental promotion activities mainly take the form of events (e.g. quizzes) delivered on a platform such as Instagram. In general, offline campaigns are delivered in formats that attract attention in the physical environment (e.g. on a big screen). More proactively, these HEIs host in-person events centred on the topic of the environment. The majority of the promotion activities identified by the participants were related to climate change; this may be because the research fieldwork took place at a similar time to COP26, an international conference focusing on climate change.

HEIs provide their people with **environmentally friendly construction and facilities [code]** for more sustainable energy use in buildings. At first, these HEIs develop strategies to minimise the use of fossil fuels. By implementing these energy strategies, they enable their existing facilities to become more sustainable (e.g. by using a district heating system to reduce HEI’s environmental footprint) and ensure that new buildings are constructed in a more sustainable way (e.g. to be carbon neutral), making HEI more environmentally friendly overall. However, one participant implied that the wellbeing of (academic) staff also needs to be considered when HEIs implement environmentally friendly measures:

“I think the measures should be suited to local conditions. For example, Guangzhou is such a hot place.² You could not say that turning on an air conditioner is not good behaviour. Teachers can barely work without air conditioners... the university had to turn on air conditioners due to its construction. I used to work in an enclosed building with a central air-conditioning... Could I work

² Even in winter, the temperature in Guangzhou can be as warm as around 23°C.

without air conditioning? It is hard because the building is not well ventilated. Same for my colleagues.” (Source: AC-CHN-2, translated by the author)

In addition to environmentally friendly construction and facilities, HEIs use **environmentally friendly items [code]**. Specifically, they prefer items that are recyclable (e.g. Vegware food packaging), and they provide recycling bins for staff and students to use. As employers, HEIs adopt **environmentally friendly working practices [code]**. By implementing a sustainability framework (e.g. including ESGs), they encourage staff to develop sustainable workplace behaviours (e.g. running a paperless office).

There are two aspects of **environmentally friendly transportation [code]** on campus: on the one hand, adopting environmentally friendly behaviour with regard to travel; on the other hand, creating environmentally friendly supply chains. In terms of behaviour, HEIs require their people to consider **environmentally friendly travel [sub-code]** (see Figure 4-8). Based on their understanding of travel behaviour among staff and students, HEIs recommend that people travel only when necessary and use active travel to contribute to decarbonisation.

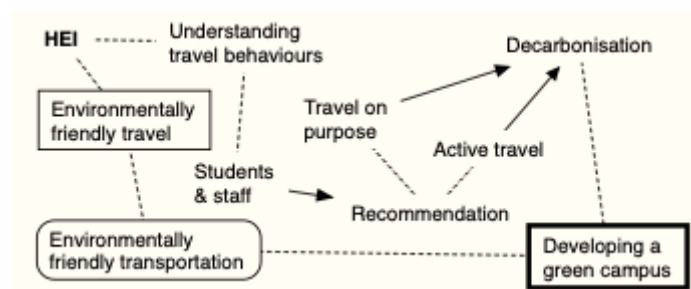


Figure 4-8 HEI's approach to environmentally friendly travel

In detail, **purposeful travel** involves HEIs encouraging staff and research students to avoid travel when an alternative option is available (e.g. attending an event online, using technological solutions for virtual working), to use public transport for necessary trips, and to maximise the value of business travel (Anonymous, 2022). Meanwhile, **active travel** involves HEIs improving pedestrian access around the campus and encouraging people to walk or cycle to campus (Anonymous, 2022).

Regarding the transport of goods, HEIs have implemented **environmentally friendly supply chains [sub-code]** (see Figure 4-9). The influence on campus is mostly related to the use of transport (e.g. electric vehicles) powered by renewable sources. This makes campus supply chains greener.

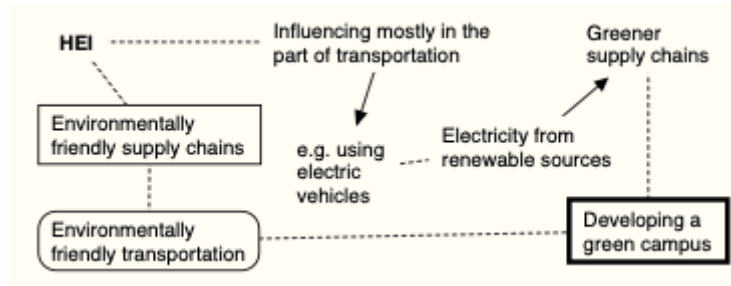


Figure 4-9 HEI's application of EF supply chains

Based on the data analysis above, a map covering six codes for developing a green campus is shown in Figure 4-10:

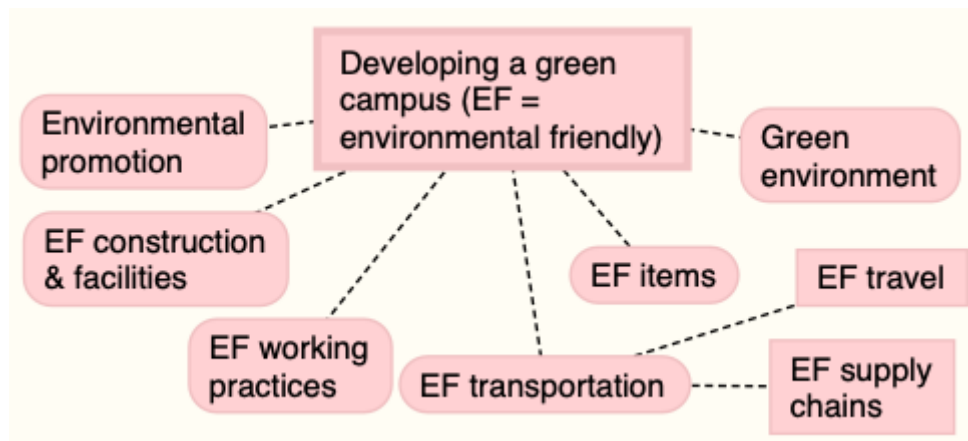


Figure 4-10 Micro-level thematic map for RQ1 (developing a green campus)

4.2.4 Responsible employer: welfare support, pay rises, work support, career support

To be a responsible employer, HEIs provide **welfare support [code]** to their staff. This support includes health support and a workplace environment where people are respected. The **health support [sub-code]** provided by HEIs encompasses both physical and mental health. With regard to physical health, HEIs provide staff with an annual health check; in addition, if a member of staff is diagnosed with a critical disease, HEI will organise fundraising activities. As for mental health, HEIs organise social activities for staff to keep them happy.

HEIs also aim to ensure that members of staff are given **respect [sub-code]** in the workplace. This respect is mainly related to gender equality and diversity. In terms of gender equality, HEIs attempt to achieve a gender balance in the workforce and provide staff with gender care; to show their respect for diversity among employees, they take (degree of) internationalisation in the workforce into consideration. Some gender-based issues have an influence on staff needs in the workplace, and adjustments are made to meet these needs. For example, AC-CHN-5 explains: "As a pregnant woman... the school does not require me

to have office hours when not having class.” Moreover, HEIs make **pay rises [code]** to ensure that members of staff can live on the income they earn.

The main work done by HEI’s academic staff is in teaching and research, both of which are supported by HEIs. Therefore, the **work support [code]** provided by HEIs is twofold; i.e. research support and teaching support. HEIs provide their staff with **research support [sub-code]** to enrich this aspect of their work by developing research networks with policymakers, officials and community groups, and by making funding available for research. In terms of **teaching support [sub-code]**, HEIs are currently adopting the blended model. This model is defined on the relevant webpage of one HEI as follows:

“Within LEADS, we subscribe to Garrison and Kanuka’s (2004, p.96-7) definition of blended learning as the ‘thoughtful integration of classroom face-to-face learning experiences with online learning experiences’, acknowledging that this approach leads to a reduction in face-to-face contact (Graham, Woodfield and Harrison, 2013). Uploading traditional course content to Moodle on its own is not true blended learning, which optimally combine face-to-face and online modes of study to engage students in a flexible learning experience, while encouraging high-levels of attainment of learning outcomes” (Anonymous, 2022)

The career progression of academic staff depends mainly on their individual development and assessments of their performance. Therefore, the **career support [code]** provided by HEIs for academic staff includes support with development and assessment. There are three main aspects of the **development support [sub-code]** provided: (1) support with learning (e.g. financial support for further study); (2) opportunities for knowledge exchange (e.g. by hosting academic workshops and academic conferences); and (3) opportunities for staff to contemplate their work. In terms of assessment and appraisals, HEIs are **improving evaluation [sub-code]** by considering publication at a wider variety of levels to ‘level down’ the assessment of their staff. This enables academic staff to achieve better performance outcomes in their role.

Based on the data analysis above, a map covering three codes related to HEIs as responsible employers is shown in Figure 4-11:

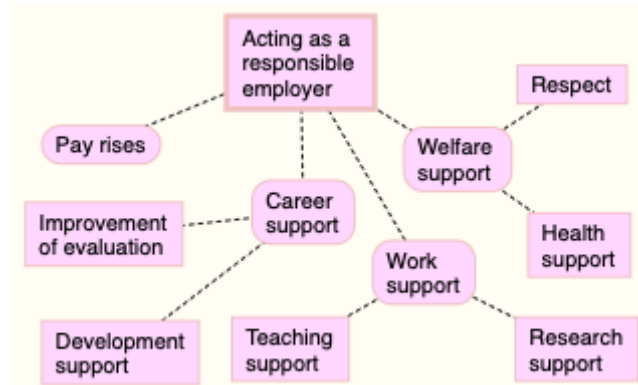


Figure 4-11 Micro-level thematic map for RQ1 (responsible employer)

4.2.5 Responsible student supporter: welfare support, quality education assurance, providing practical opportunities, support with career development

To fulfil their responsibilities to students, firstly, HEIs provide students with **welfare support [code]** related to health, living standards and respect. Regarding **health support [sub-code]** (see Figure 4-12), a few participants gave examples of practical support provided by HEIs during the Covid-19 pandemic, such as the provision of quarantine facilities, the establishment of vaccination points for students, and the provision of online counselling and psychological services. The health support provided by HEIs covers both physical health and mental health. In the context of physical health, HEIs organise fundraising activities for students suffering from critical illness. The provision of mental health support was also mentioned by these participants. To respond to students' existing mental health needs, HEIs have established psychological and counselling services with sufficient numbers of counsellors on duty to help students resolve matters in life. More preventatively, these HEIs have developed programmes for reducing stress, provided student activities related to mental health (e.g. wellbeing-themed activities, mental health sandbox games and simulations) and established relevant student roles (e.g. wellbeing class representatives and wellbeing student representatives) to keep track of students' mental health.

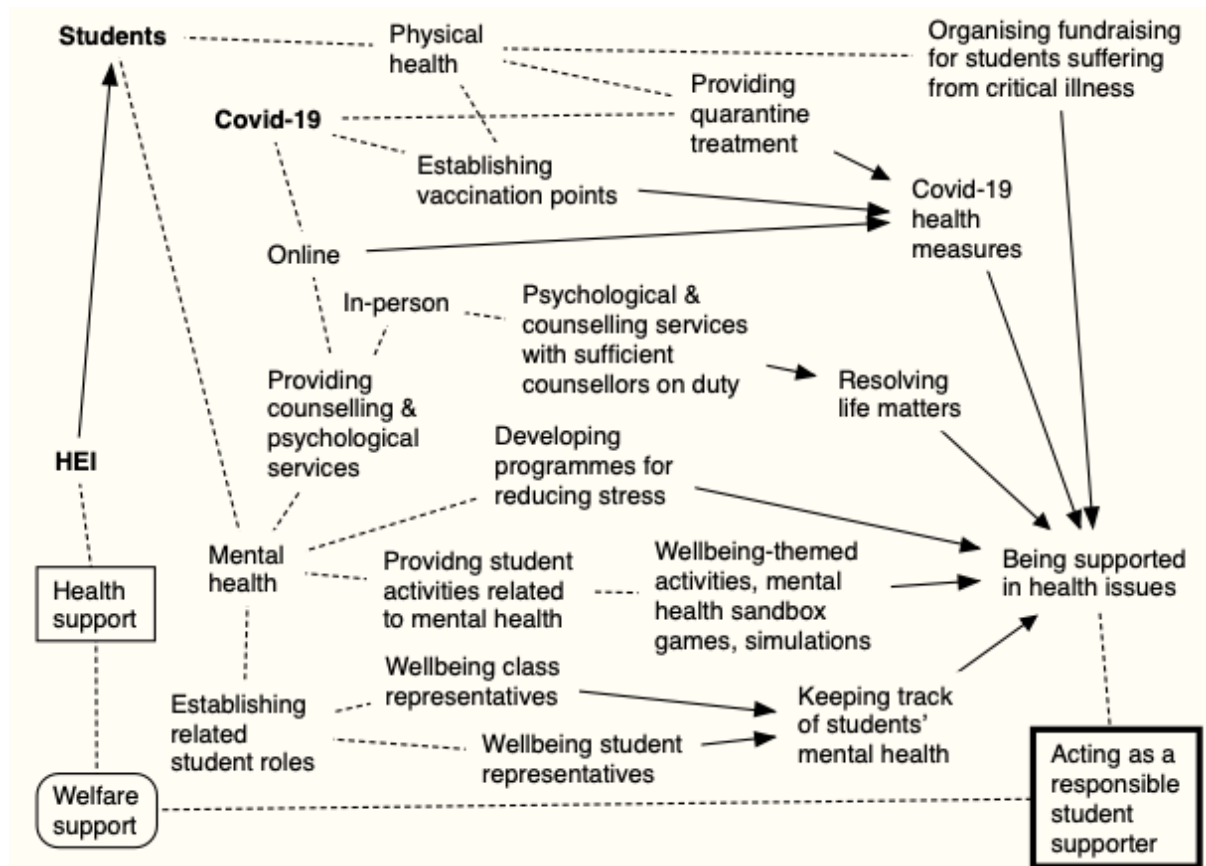


Figure 4-12 HEI's provision of health support for students

Since the Covid-19 pandemic, HEIs have been extending their health support beyond their traditional provision. As mentioned by one participant, HEI has implemented special programmes to encourage students to have an 'active lifestyle' (Gordon, 2021):

“After Covid-19, like [our] work is getting students into the gym for free for their wellbeing. So, it’s called active lifestyle wellbeing programme... And you don’t have to be a member of the gym; you can access it for free.” (Source: STR-UK-2)

The welfare support provided for students by HEIs also includes **living support [sub-code]**, which involves supporting students with day-to-day life. For example, HEIs provide students with guidelines to help them navigate campus life. International students are considered to be a target community in this regard: they are offered support with migration issues (e.g. entry, visas) and, during the pandemic, HEIs guaranteed the provision of daily necessities for them. In terms of students' living conditions, HEIs make improvements to their student accommodation (e.g. by carrying out renovations) and provide them with financial support (e.g. by making work-study jobs available for students from low-income backgrounds and by guaranteeing reasonable tuition fees). Other support identified in the fieldwork included catering support (understanding students' opinion of the canteen) and legal services. The welfare support related to **respect [sub-code]** is mainly associated with the aspect of diversity. For example, HEIs promote understanding of gender

diversity and cultural diversity, and they appoint student representatives to safeguard the welfare of different student communities (e.g. international students and LGBTQ+ students).

The data analysis revealed that HEIs make **improvements to students' learning experience [code]** by improving the learning environment and providing students with opportunities to develop their skills. **Improving the learning environment [sub-code]** (see Figure 4-13) in the fieldwork mainly relates to the construction of new library to provide more seats and improve study spaces.

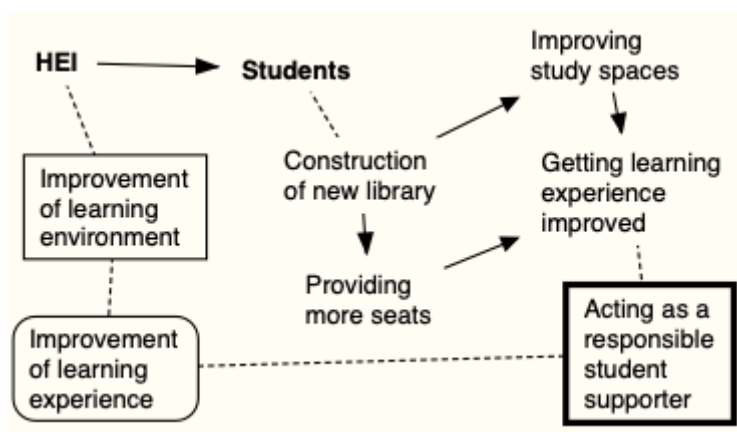


Figure 4-13 HEI's improvement of students' learning environment

HEIs also provide students with training opportunities for **skills development [sub-code]**. In general, HEIs focus on skills that students can go on to use in the workplace. HEIs also provide language learning opportunities. One participant mentioned an example of vocational skills training:

“For students from low-income background, the university has set up a variety of skills training courses. I remember a class that was for training in Photoshop software. When these students learn the relevant [post-production] skills, the university will take the lead in contacting relevant companies to provide outsourcing services.” (Source: STR-CHN-9, translated by the author)

Most of the participants also mentioned that HEIs are **providing practical opportunities [code]** for students, including volunteering, research, internships and placements, and entrepreneurship. The **volunteering [sub-code]** opportunities (see Figure 4-14) give students the chance to take on SR. These may include an element of education provision, such as teaching children and people on low incomes. More academically, volunteering opportunities may include awareness raising and providing technical support. At the community level, students have opportunities to care for disadvantaged groups in society (e.g. older people and people with disabilities); as citizens, they can volunteer to assist at local events or make contributions to the public with higher quality. They are also given opportunities to get involved in ecological volunteering, such as ‘greening’ and animal welfare. Through these volunteering opportunities, the students can make a contribution to society.

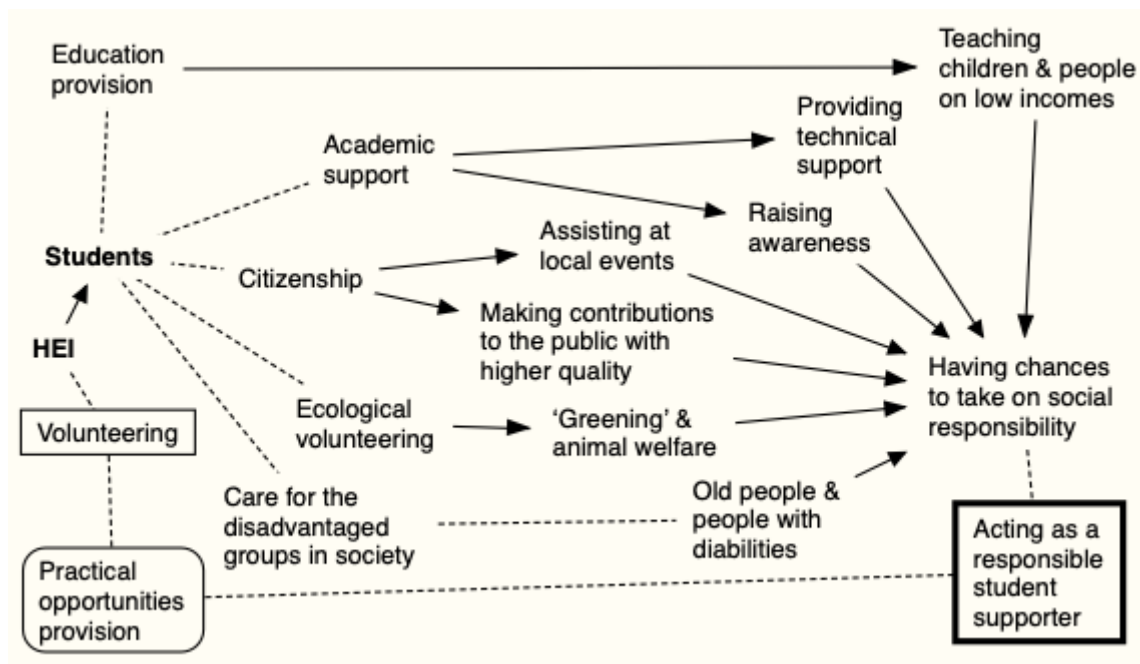


Figure 4-14 HEI's provision of volunteering opportunities for students

In addition, HEIs provide students with funding to conduct **research activities** [sub-code]. This kind of activity normally forms part of government student research programmes or university research projects. The opportunities provided enable students to use professional knowledge to research problems in practice, which may lead to identifying solutions to (real) problems.

As students begin to think about employment, HEIs provide them with opportunities to apply for **internships and placements** [sub-code]. These are guaranteed by HEI to be suited to a student's course major so that the internship or placement can contribute to the student's degree (e.g. a dissertation internship). Besides, as responsible HEIs, they guarantee that students will always have these internship opportunities. For example, during the Covid-19 pandemic, HEIs provided their students with online internships. As a result of these opportunities, the students develop their practical skills.

HEIs also provide students with opportunities to become 'entrepreneurs'. They are enabled to develop their **entrepreneurship** [sub-code] capabilities in three main ways: knowledge development (e.g. through attending training courses provided by HEI); simulation (e.g. taking part in a competition to launch a start-up company); and practice (where 'student entrepreneurs' are provided with office space and help to register a business).

The **career support** [code] provided by HEIs for students begins with assistance to prepare for a future career. It then moves on to the provision of employment opportunities. After graduation, HEIs provide them with alumni support. The **career-related preparation assistance** [sub-code] (see Figure 4-15) provided

by HEIs aims to enhance students' employability through guest lectures provided by representatives from corporations. For example, entrepreneurs may be invited to share their experiences of starting a business and HR staff may provide information to help students write effective job applications. Based on the understanding of job requirements that are suited to students' majors, several HEIs cultivate students by providing another major (i.e. a joint degree) also suited to the job requirements and relevant specialities. HEIs also assist students with choosing a future career and improving their CV, and provide them with certificate courses in addition to their degree courses to evidence a degree of knowledge. Some HEIs provide international students with information about job requirements in the cities HEIs are in.

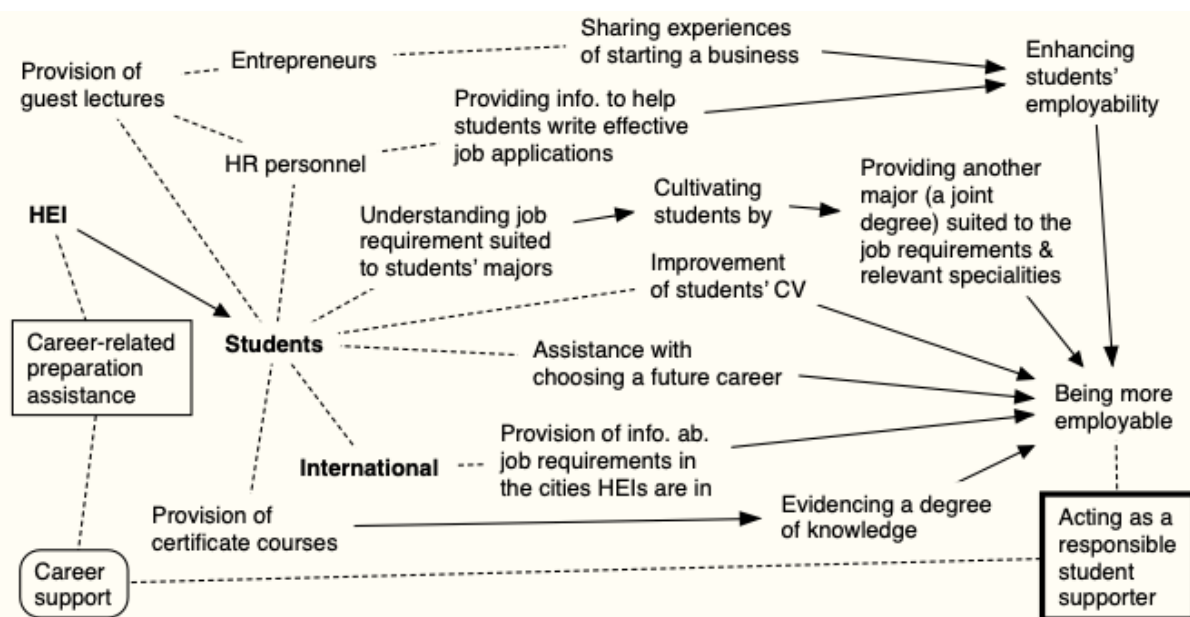


Figure 4-15 HEI's provision of career preparation assistance for students

STR-UK-3 is an international student in the UK. She explained that because she was unfamiliar with the job requirements in the UK, she found the special information provided for international students helpful:

“The XX Association will hold some job search seminars that will tell you how to apply for a job in the UK or what abilities are needed in the UK’s workplace.” (Source: STR-UK-3)

HEIs also guarantee provision of **employment opportunities [sub-code]** for students. These HEIs hold job fairs for students and provide them with internal references with regard to opportunities. They also provide job-seeking assistance to senior students who are in urgent need of employment.

In addition, HEIs provide **support for alumni [sub-code]**. These HEIs help their alumni to develop local networks, and they identify opportunities for alumnus businesses to collaborate with their alma mater. Both types of support aim to enhance the career development of alumni. An alumni cooperation programme

mentioned by one participant illustrates that the support provided to alumni can complement the support provided to current students:

“Recently, the university is launching a new project. We provide our marketing students with real business problems from alumni startups, and these students will conduct a 6-week research. Finally, they will need to provide a consulting report on the development of the company.” (Source: STR-UK-1)

Based on the data analysis above, a map covering four codes relating to HEIs as responsible student supporters is provided in Figure 4-16:



Figure 4-16 Micro-level thematic map for RQ1 (responsible student supporter)

In total, the theme ‘Responsible campus development by HEI’s encompasses five sub-themes and nineteen codes. A map summarising this theme is shown in Figure 4-17:

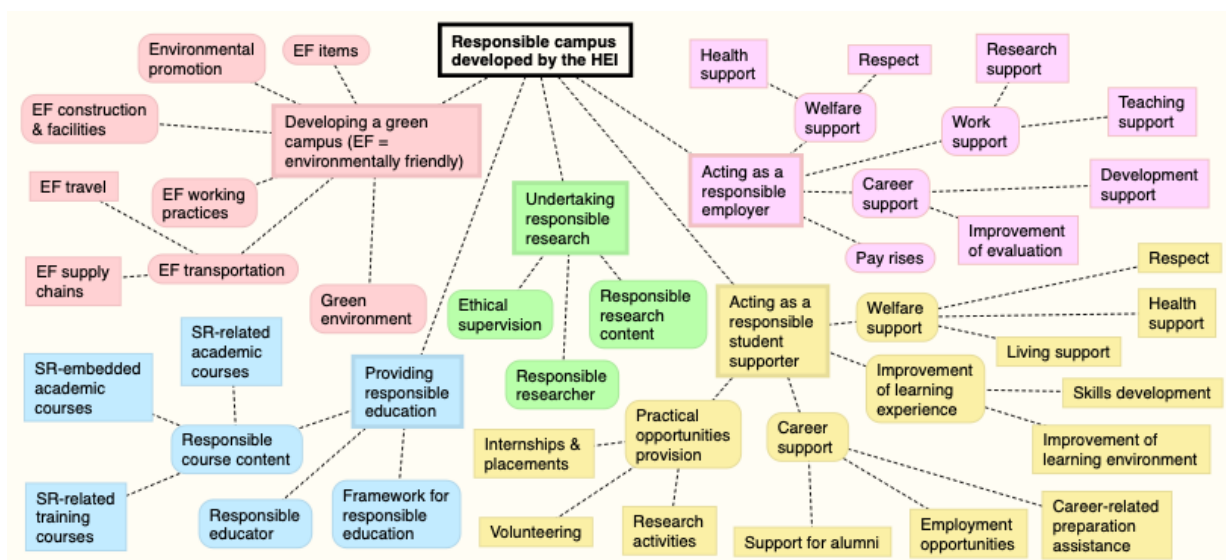


Figure 4-17 Mega thematic map for RQ1 (responsible campus development)

4.3 HEI as a responsible member of society

The data analysis revealed that the participants feel that their HEIs behave responsibly in their external activities (see Figure 4-18). The following sub-themes emerged from the analysis. First, HEIs implement activities to meet the needs of specific communities through **community engagement and participation**. They fulfil their civic responsibilities through **civic engagement and participation**. Moreover, HEIs demonstrate **philanthropic behaviour** in society.

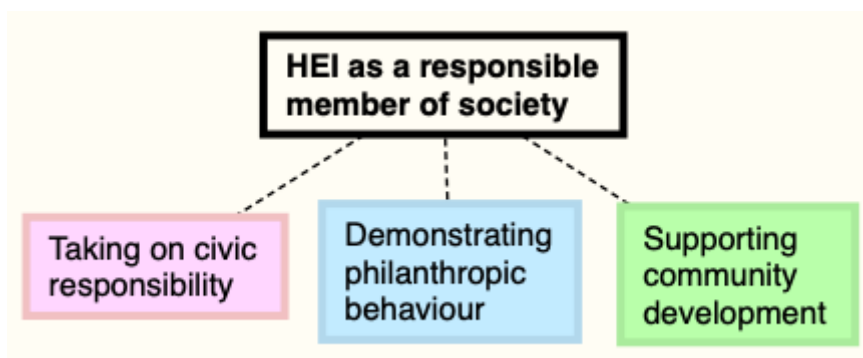


Figure 4-18 Meso-level thematic map for RQ1 (responsible member of society)

Table 4-2 presents the codes and sub-codes identified under each of these three sub-themes, and the number of participants in China and the UK who mentioned each topic. Among the combined responses from participants in both countries, the following codes represent the topics mentioned by most participants (from most to fewest): **CR-development of education** (with the sub-code ‘educational undertakings support’ mentioned by most participants); **CR-socioeconomic development** (with the sub-code ‘poverty reduction’ mentioned by most participants); **CD-learning support**; and **CD-health support**. The further analysis of these topics is presented in the following sections along with corresponding maps. The topics that were mentioned by fewer participants are presented in the text only, with the associated maps provided in Appendix E.

When focusing on the responses from participants in China, the topics mentioned by most participants (from most to fewest) were as follows: **CR-development of education** (with the sub-code ‘educational undertakings support’ mentioned by most participants); **CR-socioeconomic development** (with the sub-code ‘poverty reduction’ mentioned by most participants); **CD-health support**; and **charity procurement**.

Among the UK responses, the topics that were mentioned by most participants were as follows: **CD-learning support**; **CR-development of education** and **CR-socioeconomic development** (with an equal number of participants mentioning the topic ‘CR-development of education’); and **CR-ethical**

development and **CR-health support** (with an equal number of participants mentioning the topic 'CR-development of education').

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)		N of ppl talking ab it (CHN)		N of ppl talking ab it (UK)		
Supporting community development	Learning support	-	7		2		5		
	Health support	-	6		5		1		
Taking on civic responsibility	Ethical development	-	2		0		2		
	Health support	-	3		1		2		
	Development of education	Educational undertakings support	-	7		7		0	
		Local education support	-	4		3		1	
		Educator community training	-	14	3	11	3	3	0
		Educational strategic support	-	1		1		0	
		Globalisation of education	-	2		0		2	
	Socioeconomic development	Poverty reduction	-	6		6		0	
		Improvement of business practices	-	12	4	9	3	3	1
		Improvement of industry	-	4		2		2	
	Tech support	-	2		1		1		
	Assistance for local events	-	3		2		1		
Demonstrating philanthropic behaviour	Charitable procurement	-	4		4		0		
	Fundraising & donation	-	4		3		1		
Average			5.7		3.8		1.9		

Table 4-2 Statistics for the sub-themes and (sub-)codes: HEI as a responsible member of society

4.3.1 Supporting community development: learning support and health support

The participants identified that in the main, HEIs providing support for the learning and health aspects of community development. Under the code **learning support** (see Figure 4-19), HEIs provide educational opportunities to disadvantaged groups in society (e.g. minorities and migrants) to reduce educational inequalities among different community groups.

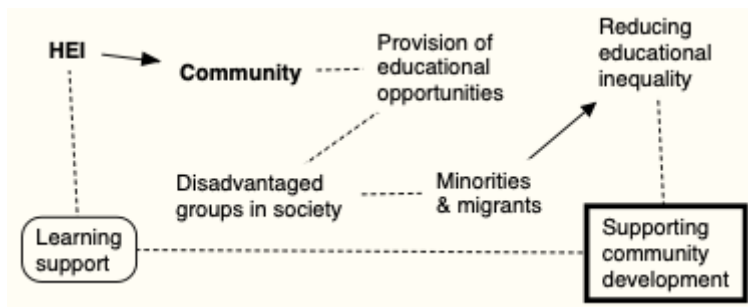


Figure 4-19 HEI's provision of learning support for communities

In the context of community development, the code **health support** (see Figure 4-20) refers to healthcare provided by HEIs to disadvantaged groups in the community, such as older people, disabled people and people living in disadvantaged areas.



Figure 4-20 HEI's provision of health support for communities

Based on the data analysis above, a map of the two codes for HEI's support for community development is shown in Figure 4-21:

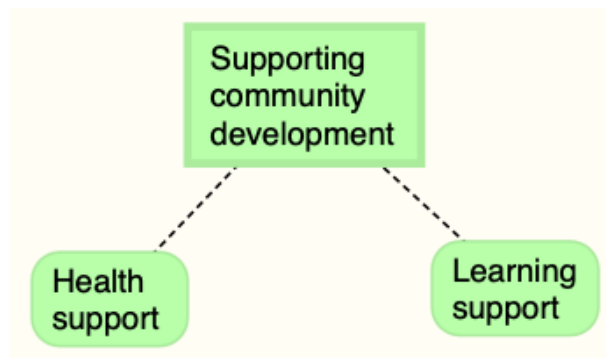


Figure 4-21 Micro-level thematic map for RQ1 (supporting community development)

4.3.2 Taking on civic responsibility: ethical development, (civic) health support, development of education, socioeconomic development, technical support, assistance for local events

According to the data analysis, the civic responsibility demonstrated by HEIs covers social ethics, civic health (differentiated from community health), education, social economy, technology, and local events. HEIs contribute to **ethical development [code]** by involving themselves in ethical issues of concern in society, e.g. racial discrimination ('Black Lives Matter' was mentioned).

HEIs provide **health support [code]** at the civic level by improving medical treatment, including through research, testing, cure and recovery, to reduce suffering caused by disease. The participants mainly made reference to Covid-19: they mentioned that HEIs have conducted research on Covid-19, built testing facilities for Covid-19, understood the impact of Covid-19 on vulnerable groups in the context of recovery, and even allocated medical staff to geographical areas where Covid-19 is having more impacts.

The data analysis revealed that under the code **development of education**, HEIs are making five main contributions. Firstly, HEIs are providing **educational undertakings support [sub-code]** (see Figure 4-22) in underdeveloped areas to reduce inequalities in basic education provision in different regions.

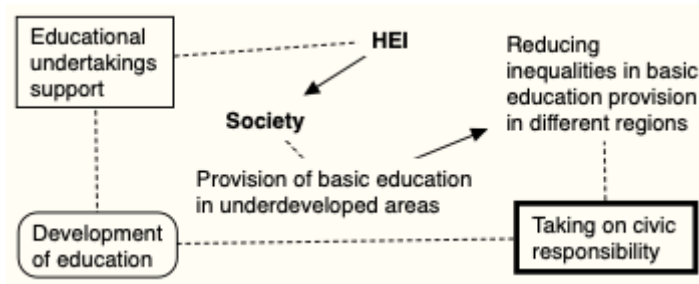


Figure 4-22 HEI's civic responsibility for supporting educational undertakings

Second, HEIs provide **local education support [sub-code]** to improve both higher and basic education in the cities these HEIs are in. In terms of higher education, they provide local people with an easier access to it. As for basic education, HEIs provide support by mentoring (local) schoolchildren, giving them more opportunities to take part in extracurricular activities, access learning experiences of higher education, and in turn achieve comprehensive development. For example, in the context of climate change, one HEI (PE-UK-9) has joined up with secondary schools to provide pupils with lessons about green finance (based on knowledge provided by HEI) to enable them to explore how green finance can be used to identify climate solutions (Anonymous, 2022).

HEIs also provide **educator community training [sub-code]** for teachers in pre-school settings, primary and secondary schools to improve basic education, including those in underdeveloped areas. They provide

educational strategic support [sub-code] by offering guidance to schools on reforming and developing basic education and by providing the government with consultancy services to shape policy on education. In addition, HEIs are contributing to the **globalisation of education [sub-code]**. Online, they are widening access to higher education; in person, they are providing students with more opportunities to study abroad.

HEIs are also contributing to **socioeconomic development [code]** on three levels: reducing poverty, improving business practices, and improving industries. They are focusing their efforts on underdeveloped areas to contribute to **reducing poverty [sub-code]** (see Figure 4-23). They attempt to understand the difficulties faced by people in those areas and identify relevant economic solutions that can reduce economic inequality in society.

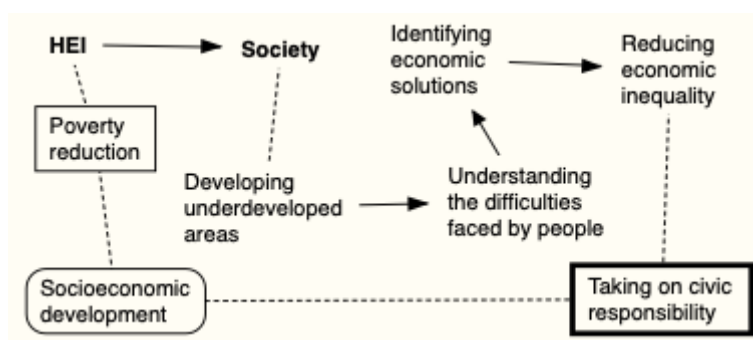


Figure 4-23 HEI's civic responsibility for reducing poverty

HEIs contribute to **improving business practices [sub-code]** by providing enterprises with business consultancy services (e.g. on CSR). These services aim to help enterprises find solutions for business recovery and sustainable development. This is expected to lay the foundation for society as a whole to achieve business prosperity.

The analysis revealed that HEIs are adopting two main approaches to **improving industry [sub-code]**: first, they provide the government with socioeconomic consultancy services to boost economic growth and development; second, and more directly, they cultivate students so that they will be competitive in the labour market and they provide disadvantaged people with job opportunities to reduce unemployment. The outcomes of these efforts contribute to levelling up different parts of society. One participant explained that HEI she is working for is located in a city where refugees are arriving after fleeing from war. People in this disadvantaged group are having to adapt to a different way of life and look for opportunities to earn a living. The participant's HEI is accepting them employees:

"I also see the University of XX is accepting, for example, refugees to the university to help them."
 (Source: AC-UK-2)

The code **tech support** refers to HEI’s innovative involvement in technology. For example, working with the city council, a fieldwork HEI (PE-UK-7) is launching a technology project to develop a ‘100% climate neutral area’ for a district. The project will use local natural and physical resources to implement climate solutions that will provide “health and wellbeing benefits for citizens living and working in the local area” (Anonymous, 2022).

In terms of **assistance for local events [code]**, in general, HEIs provide the services of their personnel. For specialist events, they may provide specific professional assistance (e.g. providing translators for an expo). At a higher level of involvement, they launch events with their local partners organisations. Overall, they are successful in their efforts to assist at local events.

Based on the data analysis above, a map covering six codes for HEI’s fulfilment of civic responsibility is shown in Figure 4-24:

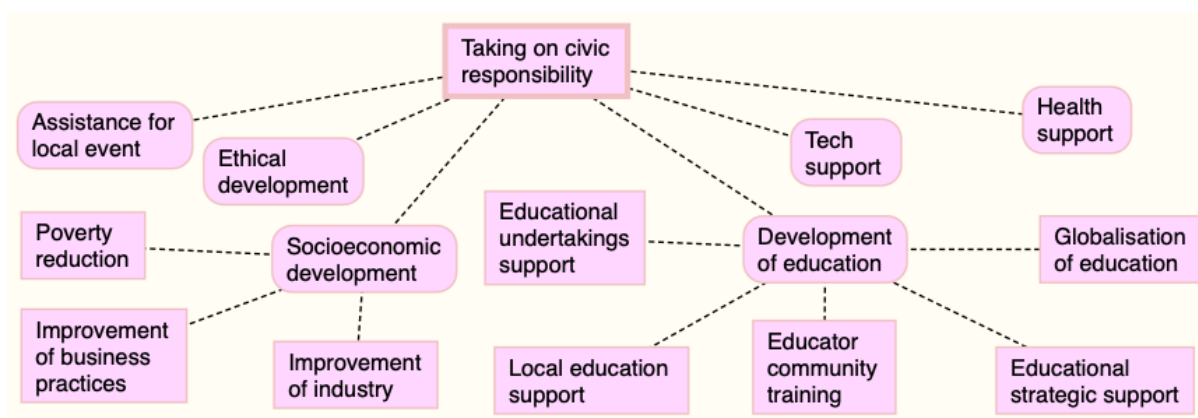


Figure 4-24 Micro-level thematic map for RQ1 (taking on civic responsibility)

4.3.3 Demonstrating philanthropic behaviour: charitable procurement, fundraising and donations

At a more discretionary level, HEIs act as ‘philanthropists’ through charitable procurement, fundraising and donations. **Charitable procurement [code]** refers to the practice of procuring (or providing staff with funding to buy) products (e.g. agricultural product) from poverty-stricken areas. By contributing to the local economy, this type of procurement enables local communities to alleviate hardship. According to the relevant participants, the products procured from areas with high levels of poverty are generally given to staff as benefits or festival gifts. In addition, HEIs undertake **fundraising and donations [code]** to help people in need. Donations are usually made to people in poverty or who are suffering from a social cause, such as the social effects of Covid-19. In addition, HEIs take their chances to work with charities.

Based on the data analysis above, a map covering the two codes related to HEI’s philanthropic behaviour is shown in Figure 4-25:

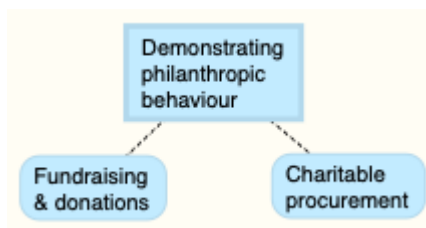


Figure 4-25 Micro-level thematic map for RQ1 (HEI’s philanthropic behaviour)

In summary, HEI’s behaviour as a responsible member of society can be categorised into three sub-themes with ten main codes. A map of this theme is shown in Figure 4-26:



Figure 4-26 Mega thematic map for RQ1 (HEI as a responsible member of society)

4.4 Summary

The analysis of the data, combined with an understanding of HEI policymakers and executives, academic staff, and students noticed activities by HEIs that can be categorised as CSR related activities. These activities are twofold. Firstly, HEIs intend to develop a responsible campus. To provide responsible education, they develop a responsible educational framework, equip academic staff to become responsible educators, and include responsible course content. They also aim to undertake responsible research by placing emphasis on responsible research content, having responsible researchers, and conducting ethical supervision. To develop a green campus, HEIs create a green environment, promote environmental protection, use environmentally friendly items, have environmentally friendly constructions and facilities, adopt environmentally friendly working practices and develop environmentally friendly transportation. As employers, HEIs aim to fulfil their responsibilities to academic staff. These responsibilities include supporting academic staff in terms of their welfare, work, career and income. With regard to students, HEIs support their welfare and career development, provide them with practical opportunities, and improve their

learning experience. Secondly, HEIs behave as responsible members of society. They support the learning and health of their local communities. They also take on civic responsibilities by providing support related to health and technology, assisting with local events, and contributing to the ethical, educational and socioeconomic aspects of development. Additionally, they do charity procurement and undertake fundraising and donation. These demonstrate their philanthropic behaviour. The above analysis is summarised in Figure 4-27.

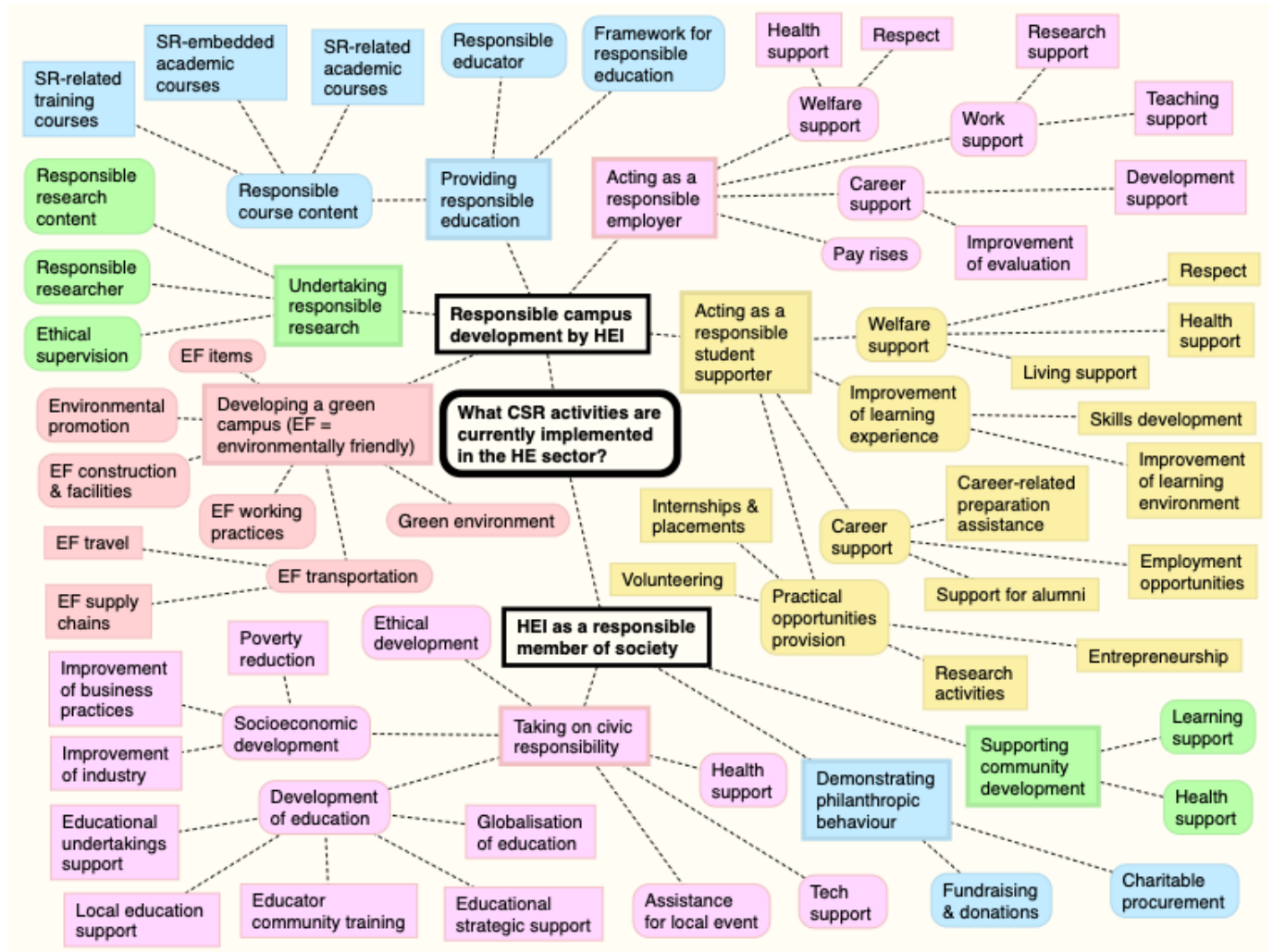


Figure 4-27 Mega thematic map for RQ1

Appendix F shows that the (sub-)topics are mostly mentioned along the same lines within participants in both countries. Some of (sub-)topics are highlighted by participants from one country only. Apart from this difference, there are further country-specific differences in how often particular topics are mentioned and how much importance is attached to them. With regard to topics grouped under the main theme of **responsible campus development by HEIs**, the following topics are of particular note among the participants from China: **RSS-practical opportunity provision** (particularly the sub-topic **volunteering**); **RSS-learning experience improvement** (particularly the sub-topic **learning condition improvement**); the topics **RE-welfare support** and the topic **RE-career support** (particularly the sub-topic **development**

support); and, within the topic **RSS-welfare support**, the sub-topics **health support** and **living support**. Within the topic **responsible course content**, the sub-topic **SR-related academic course** is mentioned by more of the participants from China, while the sub-topic **SR-embedded academic course** is mentioned by more of the participants from the UK. In addition, the topic **RE-work support** is mentioned by more of the UK participants, with the sub-topic **research support** being a particular area of focus.

With regard to HEIs as responsible members of society, the following topics receive more attention from participants in China: **CR-development of education** (particularly the sub-topic **supporting development of education**); **CR-socioeconomic development** (particularly the sub-topic **reducing poverty**); and **CD-health support**. The topics are emphasised more by participants in the UK are **CD-learning support** and **CR-health support**.

Chapter 5: Data analysis and findings: main stakeholders' perceptions of CSR in the HE sector

5.1 Introduction

The responses to the research question “*What aspects of CSR should be covered in the HE sector from the stakeholders' perspective?*” can be categorised into five main themes (see Figure 5-1). These are presented in this chapter as follows. The first theme, ‘HEI’s motivation for being socially responsible’ is presented in Section 5.2. This is followed by the second theme, ‘integration of social responsibility (SR) into HEI’s role’ in Section 5.3. The third theme, ‘HEI’s responsibility to academic staff’ is analysed in Section 5.4, followed by the fourth and fifth themes, ‘HEI’s responsibility to students’ (Section 5.5) and ‘HEI’s responsibility to external stakeholders’ (Section 5.6). The chapter concludes with a summary of the analysis of the responses to the second research question [The symbols used in thematic maps are explained in Chapter 3, Table 3-6, p.69]

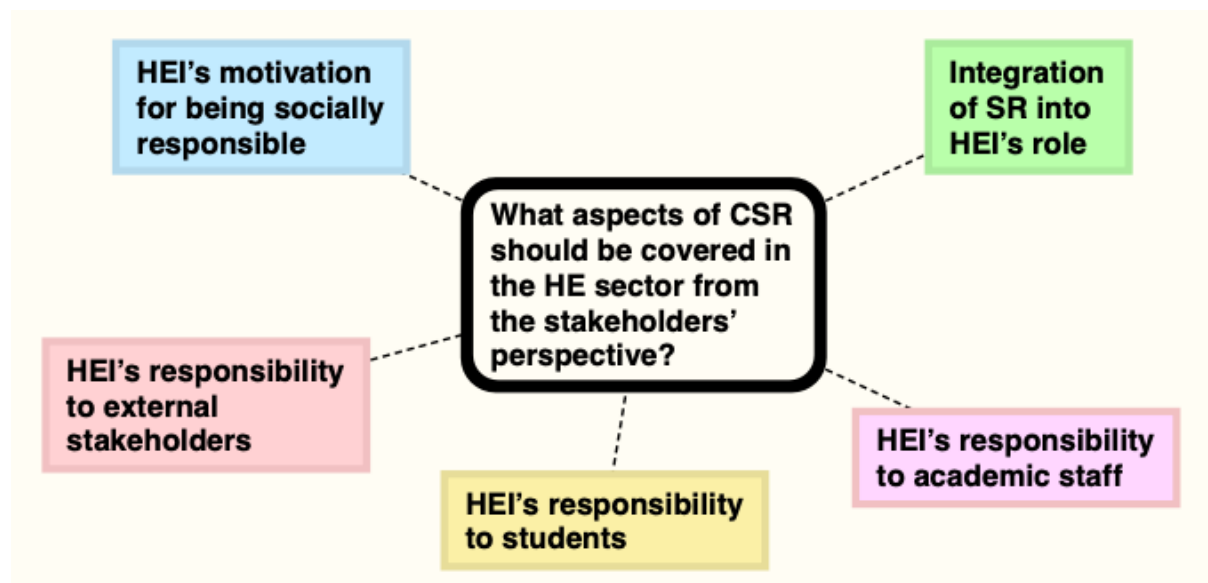


Figure 5-1 Macro-level thematic map for RQ2

5.2 HEI’s motivation for being socially responsible

The responses categorised under the theme of motivation for being socially responsible do not seem to provide direct answers to this research question. However, they can justify why certain issues are perceived as CSR in the context of the HE sector. Therefore, the author analysed the responses related to motivations for being socially responsible in order to shape an (indirect) aspect of CSR that should be considered by the HE sector.

On the basis of the analysis of the participants' responses, the author categorised HEI's motivations for being socially responsible into three main sub-themes (see Figure 5-2). First, **intrinsic motivation** describes motivators that originate from HEIs inherently. In contrast, the motivating factors that originate from outside HEIs can be described as extrinsic motivators. More specifically, the motivating factors linked to benefits for HEIs resulting from being socially responsible are categorised under the sub-theme **positive extrinsic motivation**, whereas the motivating factors linked to avoiding 'punishment' for not being socially responsible are categorised under the sub-theme **negative extrinsic motivation**.



Figure 5-2 Meso-level thematic map for RQ2 (motivation for being socially responsible)

Table 5-1 presents the number of interviewees who mentioned topics and sub-topics that were coded under the theme of HEI's motivation for being socially responsible, along with the frequency with which they were mentioned. The analysis of the responses from non-student participants in both countries showed that the most widely mentioned (i.e. most popular) topic is **public nature**. This is followed by **cultural and spiritual legacy** and, with an equal number of participants mentioning **impact** (with the sub-code 'community impact' mentioned most), followed by **corporatisation** (with the sub-code 'marketisation' mentioned most). Meanwhile, the topics perceived as more important (occurring from most to least) are **impact** (with the sub-codes 'international impact' and 'community impact' occurring most), **public nature**, **corporatisation** (with the sub-code 'marketisation' occurring most), and **cultural and spiritual legacy**.

Focusing on the responses by country, the topics mentioned by most non-student participants in China are grouped under the codes **public nature** and **cultural and spiritual legacy**. Similarly, **public nature** is perceived as more important. This is followed by **cultural and spiritual legacy** and **accreditation** (with the sub-code 'EQUIS' occurring most), followed by **corporatisation** (with the sub-code 'marketisation' occurring most).

The analysis of the non-student UK responses showed that the most popular topics (from most to least) are coded **impact** (with the sub-codes 'community impact' and 'international impact' mentioned most), **corporatisation** (with the sub-code 'marketisation' mentioned most), **cultural and spiritual legacy**, and

public nature. Likewise, the topics perceived as most important by the non-student UK participants (from most to least) are coded **impact** (with the sub-codes ‘international impact’ and ‘community impact’ occurring most), **corporatisation** (with the sub-code ‘marketisation’ occurring most), **public nature**, and **cultural and spiritual legacy**.

The further analysis of the topics that occurred most frequently and were given more importance – i.e. **public nature**, **cultural and spiritual legacy**, **impact** (community impact, international impact), and **corporatisation** (marketisation) – is presented in the narrative text with corresponding detailed maps. The remaining topics will be presented in the narrative text only, with the relevant maps included in Appendix G.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)	N of ppl talking ab it (CHN)	N of ppl talking ab it (UK)	N of occurrences (in total)	N of occurrences (CHN)	N of occurrences (UK)	
Intrinsic motivation	Public nature	-	19	12	7	33	16	17	
	Cultural & spiritual legacy	-	15	7	8	24	10	14	
Positive extrinsic motivation	Reputation	-	3	2	1	6	2	4	
	Impact	International impact	8	0	8	14	0	14	
		Societal impact	15	3	2	12	4	3	31
		Community impact	6	1	9	8	1	5	
	Distinction	-	3	1	2	3	1	2	
	Standardisation	ISO	5	2	2	3	0	2	0
		ESG	3	2	0	3	3	0	3
	Corporatisation	Marketisation	11	3	8	19	5	14	
		Commercialisation	13	5	4	9	3	31	8
		Privatisation	4	2	2	4	2	2	
	Accreditation	EQUIS	3	3	0	4	4	0	
		AACSB	5	2	3	6	3	3	
		AMBA	8	1	4	1	4	0	15
		Athena SWAN	2	0	2	2	0	2	
		PRME	1	1	0	1	1	0	
Negative extrinsic motivation	Accountability	-	4	3	1	5	3	2	
	Liability	-	2	2	0	2	2	0	
Average			8.7	4	4.7	15.9	5.9	10	

Table 5-1 Statistics for the sub-themes and (sub-)codes under the theme of HEI's motivation for being socially responsible

5.2.1 Intrinsic motivation: public nature, cultural and spiritual legacy

From the related responses, the author identified two main factors that serve as intrinsic motivators for being a socially responsible HEI. One factor relates to the nature of HEIs themselves, and the other relates to ‘intangible assets’ shaped by HEI’s long-term development.

A large number of participants attributed their HEI’s motivation for being socially responsible to the **public nature [code]** of HEI (see Figure 5-3). They considered that, as a public sector institution, HEI has a responsibility to provide value for society. As part of HEI’s own development, an HEI cultivates students and conducts research to deliver knowledge as the provision of a public good, thereby contributing to sustainable social development and human development – in other words, being socially responsible.

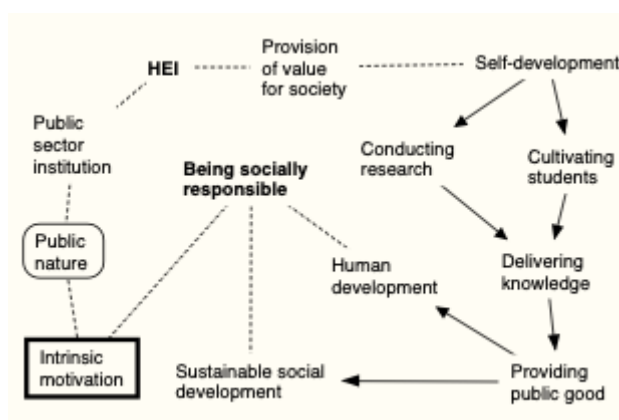


Figure 5-3 Public nature of HEI as a motivation for being socially responsible

Based on the text above, it can be understood that in the context of their nature as public institutions, HEIs provide value through knowledge:

“... higher education institution is the paradise of knowledge, and it disseminates knowledge to a large number of people, even though this dissemination cannot bring any benefit to higher education institution itself.” (Source: PE-CHN-8, translated by the author)

Correspondingly, the majority of the Chinese participants talking about the public nature of HEIs (7 out of 11 respondents) mentioned “teaching and educating people”. This response is translated from a Chinese saying in education, “教書育人”, whose literal meaning is “teaching students with knowledge to get them educated”. In addition to the teaching of knowledge, the provision of a ‘beautiful park’ (AC-CHN-3) is considered to be a public good because the well-kept HEI campuses are usually open to the public. Two interviewees (AC-UK-3,5) referred to higher education as a ‘common good’ rather than a public good. Both *common good* and *public good* are non-exclusive; i.e. a commodity or service is provided for all members of society. The main distinction between the two is that people do not need to compete for a public good;

however, the achievement of common good by a group of people will impact upon the accessibility and availability of this common good to another group of people.

In addition, a substantial number of participants were of the view that their HEI's actions with regard to SR are based on HEI's **cultural and spiritual legacy [code]** (see Figure 5-4), which is passed from generation to generation. This legacy is created through the thought, philosophy and culture produced by HEI (historically and traditionally) and integrated into HEI's ethical, people-oriented values. Based on these values, HEI builds its moral integrity so that it can be a 'person' with outstanding morals, demonstrating social morality and meeting social expectations; i.e. being socially responsible.

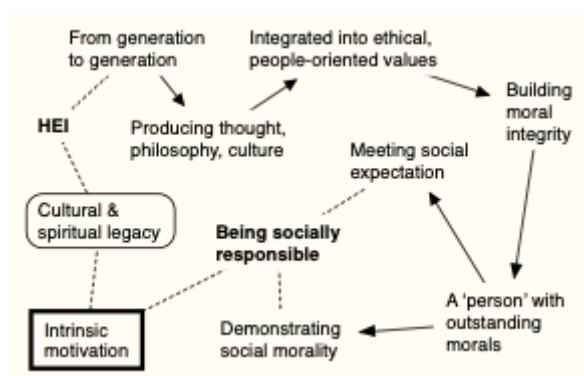


Figure 5-4 Cultural and spiritual legacy as a motivation for being socially responsible

HEI's ethical values are products of the institution's history and traditions. In the current context, according to one participant, these values need to embrace sustainability:

“I think, the university is kind of XXX (hundreds of) years old (and) you are very much plugged in for the long term. I think the decisions that we take in a university about sustainability, really matter.”
(Source: PE-UK-8)

5.2.2 Positive extrinsic motivation: reputation, impact, distinction, standardisation, corporatisation, accreditation

In terms of positive extrinsic motivation, HEI's incentives for being socially responsible include reputation-building: the desire to be recognised as reputable, impactful and even distinctive. They are also motivated by meeting widely accepted standards as important social institutions. Similar to corporations, HEIs also use SR as a tool for gaining an 'economic benefit'. Lastly, being socially responsible enables HEIs to achieve relevant accreditations.

5.2.2.1 Building reputation by being socially responsible

Few participants considered that HEIs evaluate themselves on the basis of the **reputation [code]** they have managed to build. An HEI's reputation is an asset that consists of recognition of what HEI has done in the past. This recognition facilitates the enrichment of HEI's own story so that it becomes known as a 'historic university'. Therefore, HEIs take on social responsibility in order to gain recognition.

In the CSR context, acting in a socially responsible way is considered to be an important tool for building brand reputation, which matters for HEI's survival. Therefore, to thrive in the HE sector, HEIs are motivated to take on social responsibilities that will improve their reputation:

"... corporate social responsibility is important in terms of the brand of university. So, the maintenance of asset is a reputable organisation so we need to, should be taking a proactive view."
(Source: AC-UK-5)

"... and [now] its [HEI's] most important goal is to maintain a better reputation. This reputation can guarantee themselves to better survive..." (Source: PE-CHN-8, translated by the author)

5.2.2.2 Taking on social responsibility to make an impact

A substantial number of participants mentioned HEI's desire to make an **impact [code]** as a motivation for being socially responsible. This includes HEI's ambition to make an impact at an international level, at a societal level, and at a community level.

According to the participants' responses, the desire to make an **international impact [sub-code]** (see Figure 5-5) stems from the fact that HEIs exist in a global system. They have a sense of responsibility for tackling global issues, especially those that have a big impact on HEI. In this context, HEIs make efforts to achieve positive change in relation to these issues and, in turn, to achieve sustainable growth in a sustainable way for our planet; i.e. acting in a socially responsible way in the global context.

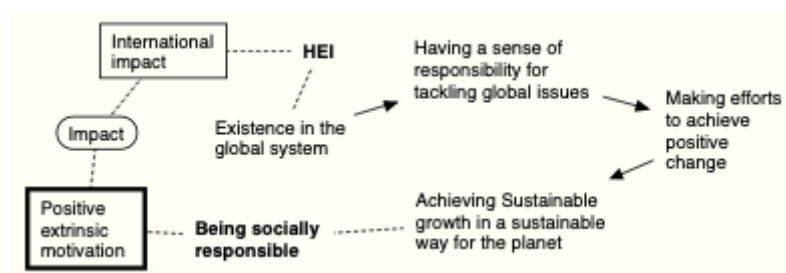


Figure 5-5 HEI's international impact through SR

When asked about global issues, concerns about ‘climate change/emergency’ was the only answer provided by the interviewees. It is possible that this ‘only’ result was influenced by the fact that COP26 was held around the period of the fieldwork study.

An HEI’s **societal impact [sub-code]** was perceived to contribute to its social networks. As one of the biggest employers in a city, the participants expected an HEI can use these social networks to create positive change for people who live in that city, enhancing social life, resources and outcomes (i.e. being socially responsible). According to the participants’ lived experiences, the societal impact made by HEIs are sometimes related to social movements:

“And also there are some kind of movement could also drive it... So these are kind of [actions] related to a social movement campaign.” (Source: AC-UK-4)

HEIs make a societal impact in the light of social movements. This is a cause-driven approach to social responsiveness. On the other hand, several respondents suggested that HEIs can take a more proactive approach to societal impact by *providing green space for society* (AC-CHN-3), *promoting employment* (AC-CHN-8) and *influencing policies* (PE-UK-3).

Within a society, there are many communities. According to the participants, HEIs ought to make a difference to these groups – i.e. a **community impact [sub-code]** (see Figure 5-6) – through a mutually beneficial relationship with (relevant) communities. HEIs engage with their internal communities and their external communities to support them and their interests. In other words, they act responsibly towards particular groups in society.



Figure 5-6 HEI’s community impact through SR

5.2.2.3 Meeting standards and distinguishing themselves

Several participants mentioned that HEIs, as important social institutions, are expected to meet certain widely accepted organisational standards (**standardisation [code]**), including **ISO [sub-code]** and **ESG [sub-code]**, which can motivate them to be socially responsible in order to meet the requirements of the

standards. Besides, a small number of participants perceived that, in order to improve their social standing, HEIs tend to develop a **distinction [code]** in terms of world-class expertise that makes transformational change possible; i.e. they can be socially responsible as a result of their specialisms.

5.2.2.4 Achieving accreditation

In addition to organisational standards, few participants mentioned some HE **accreditation [code]** criteria that require HEIs to be socially responsible. Specifically, these accreditations include **EQUIS [sub-code]**, **AACSB [sub-code]**, **AMBA [sub-code]**, **Athena SWAN [sub-code]** and **PRME [sub-code]**, which all set different standards relating to SR requirements and reporting. To gain recognition for their positive behaviours, HEIs intend to apply for these authoritative accreditations; therefore, they need to meet the social responsibility requirements of the accreditation.

It is interesting that, despite PRME having more than 880 signatory members across the world (PRME, 2022), this accreditation was mentioned by only one participant (in China). An interviewee made comparisons between (some of) these accreditations, although they were not responsible for applying for them:

“Coming back to the focus of being profitable, though triple accreditation is not profitable, it is widely acknowledged. And PRME, from my experience, few colleagues around me have heard about this [accreditation].” (Source: AC-CHN-2, translated by the author)

5.2.2.5 Gaining ‘corporate benefits’

A few participants’ responses suggested that HEIs are orientated towards **corporatisation [code]** in terms of their socially responsible undertakings. This orientation reflects a corporate nature, which is market-based and commercially oriented, and leads to behaviours associated with private sector organisations: marketisation, commercialisation and privatisation. In terms of **marketisation [sub-code]** (see Figure 5-7), HEIs aim to attract the market, which includes students and their parents, academics, corporations, employers and investors. They need to create positive narratives for branding purposes and achieve good performance in rankings, both of which contribute to competitiveness in the HE sector. HEIs construct these ‘good narratives’ based on actions they have taken to be socially responsible.

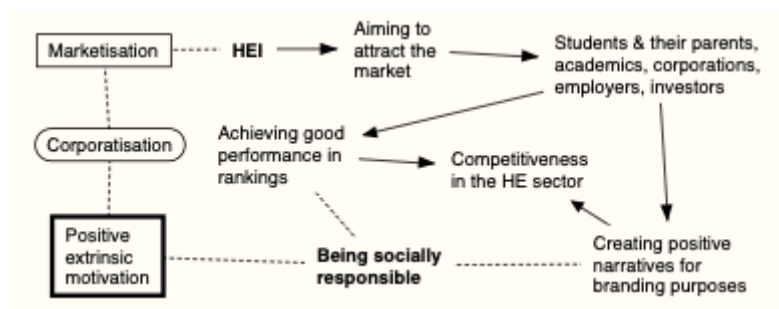


Figure 5-7 Market-related motivations for being socially responsible

The participants identified that several university ranking systems take being socially responsible into account, meaning that HEIs may be ranked higher if they are socially responsible:

“It may be the motivation of ranking [high] in this [HE] sector. If we look at the main [world] university rankings carefully, we can find that social responsibility is included as a dimension of measurement in these rankings’ methodologies.” (Source: PE-CHN-5, translated by the author)

One participant, who is a UK policymaker, shared his experience of academic staff’s expectation that SR is embedded into education. In the sense of marketisation, HEIs are being socially responsible in order to attract academics:

“They also did [the things related to SR] for the reason that there are lots of academics, and indeed professional staff that wants to see that [social responsibility] on the curriculum.” (Source: PE-UK-7)

In addition to marketisation, the participants identified that HEI’s efforts to obtain public resources may lead them to be profitable. To obtain more government funding, HEIs attempt to align their socially responsible undertakings with expectations of government. This intention, summarised by the author, demonstrates HEI’s **commercialisation [sub-code]** of SR.

As mentioned in Section 2.3, HEIs are *public organisations*. However, several participants mentioned that in recent years their HEIs have displayed some behaviours that are outside their *public nature*. The participants stated that, although HEIs are funded by the government, the quota of resources they receive is limited. To maintain their normal operations while pursuing longer-term development, HEIs carry out socially responsible activities with the aim of obtaining investment from other stakeholders, many of whom are in the private sector. The resulting investment from the private sector is changing the ownership of some HEIs, which is leading to a transformation of HEIs into *private sector organisations* (PE-UK-2,6). In this case, the SR taken on by HEIs is, to some extent, influenced by the private investment. The author summarises this as the **privatisation [sub-code]** of SR.

5.2.3 Negative extrinsic motivation: accountability, liability

Regarding negative extrinsic motivation, the participants expressed that HEIs fulfil some areas of SR mandatorily due to either **accountability [code]** or **liability [code]**. Some participants pointed out that government resources (funding for HEIs) are provided by members of society. Therefore, as recipients of that funding, HEIs ought to be accountable under scrutiny by the government and the public. This accountability gives HEIs the legitimacy to exist in a society and is translated into HEI’s responsibility to the public. In addition to accountability, the participants explained that because HEIs exist as legal entities, they need to take legal responsibility. The author interprets HEI’s SR to achieve this end as **liability [code]**.

Despite the label ‘government’ attached to the resources that are allocated to HEIs, these resources are from the public purse and are collected through taxation. Naturally, members of the public expect the taxes they pay to benefit them. In this vein, a number of interviewees mentioned social expectations, which mainly come from the public:

“So if they (HEIs) say that they’re socially responsible, they have to be seen to be socially responsible. Because the public sector is answerable to taxpayers in the XX country.” (Source: AC-UK-5)

Based on the data analysis above, a map covering the three sub-themes and nine codes regarding HEIs motivation for being socially responsible is shown in Figure 5-8:



Figure 5-8 Micro-level thematic map for RQ2 (motivation for being socially responsible)

5.3 Integration of SR into HEI's role

According to the data analysis, the non-student participants felt that their HEIs ought to integrate SR into the performance of their three main roles (see Figure 5-9). These roles are represented by the following sub-themes: **student cultivation**, **research activity** (both of which are enacted within HEI) and **external activity** (enacted in society).

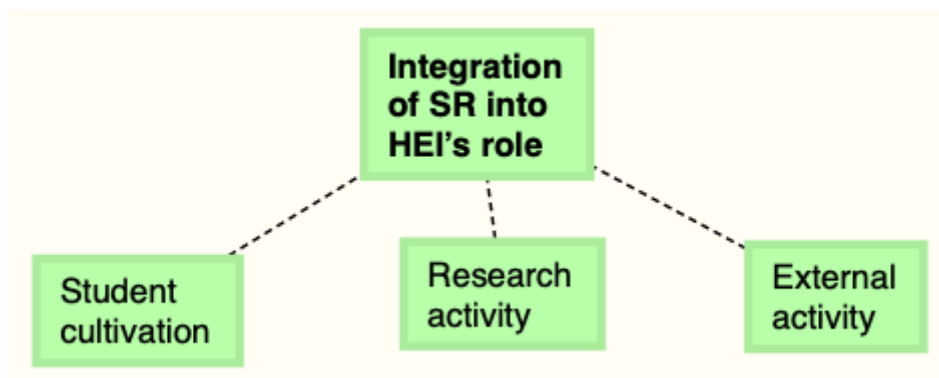


Figure 5-9 Meso-level thematic map for RQ2 (integration of SR into HEI's role)

Table 5-2 shows the number and frequency of mentions by non-student participants of the relevant topics categorised as codes and sub-codes under the sub-theme of integration of SR into HEI's role. Considering the data overall, the topics **ethical and responsible people**, **social objectives** and **non-profit purpose** are most popular (from most to least). Similarly, the topics **ethical and responsible people**, **social objectives** (with the sub-code 'public value creation' occurring most) and **competitive people** are perceived as the most important (from most to least).

Focusing on the separate country contexts, among the non-student participants from China the most popular topics are **ethical and responsible people**, **competitive people**, **social objectives** (with the sub-code 'socioeconomic development' mentioned most) and **non-profit purpose**. Similarly, the topics **competitive individuals** and **ethical and responsible people** are perceived as equally of highest importance, followed by **social objectives**.

According to the UK responses, the topic **global citizen** is the most popular, followed equally by the topics **ethical and responsible people**, **research aims and objectives**, **research impact** and **social objectives**. Meanwhile, the topics **ethical and responsible people**, **global citizen** and **social objectives** (with the sub-code 'public value creation' occurring most) are perceived as more important by the UK non-student participants, from most to least.

In the following sub-sections, the analysis of the more popular and more important topics (i.e. **ethical and responsible people**, **competitive people**, and **social objectives**) are presented in the narrative text with corresponding detailed maps. The remaining topics are presented in the narrative text only, with maps provided in Appendix G.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)	N of ppl talking ab it (CHN)	N of ppl talking ab it (UK)	N of occurrences (in total)	N of occurrences (CHN)	N of occurrences (UK)			
Student cultivation	Competitive individuals	-	7	6	1	11	10	1			
	Ethical & responsible people	-	10	7	3	16	10	6			
	Global citizens	-	5	0	5	5	0	5			
Research activity	Research aim & objective	-	5	2	3	5	2	3			
	Research impact	-	3	0	3	3	0	3			
	Ethical concerns	-	2	1	1	2	1	1			
External activity	Non-profit purposes	-	6	4	2	6	4	2			
	Social objectives	Socioeconomic development	8	5	4	3	1	5	4	4	1
		Public value creation		4	2	2		8	5		3
Average			5.75	3.125	2.625	7.625	4.5	3.125			

Table 5-2 Statistics for sub-themes and (sub-)codes: integration of SR into HEI's role

5.3.1 Integration of SR into the cultivation of students

In terms of SR, the participants expressed the opinion that HEIs are expected to cultivate students through the education they provide so that their students become competitive individuals, ethical and responsible people, and global citizens. A student who is a **global citizens [code]** are considered to be someone who can recognise what sort of world they are going to be working in and consider what can be done to make the world a better place.

The code **competitive individuals** (see Figure 5-10) refers to students who are cultivated to be creative and skilful. The respondents stated that these students are expected to develop professional knowledge, skills that will meet the job requirements of corporations, and skills that will meet the development needs of particular industries and even industry sectors. Given the dynamic nature of socio-economic development, the participants considered that HEIs ought to educate students with the most advanced knowledge available so that they can help to meet new social needs and solve new social issues. This cultivation enables the students to promote economic development and social progress; i.e. it enables them to be socially responsible.

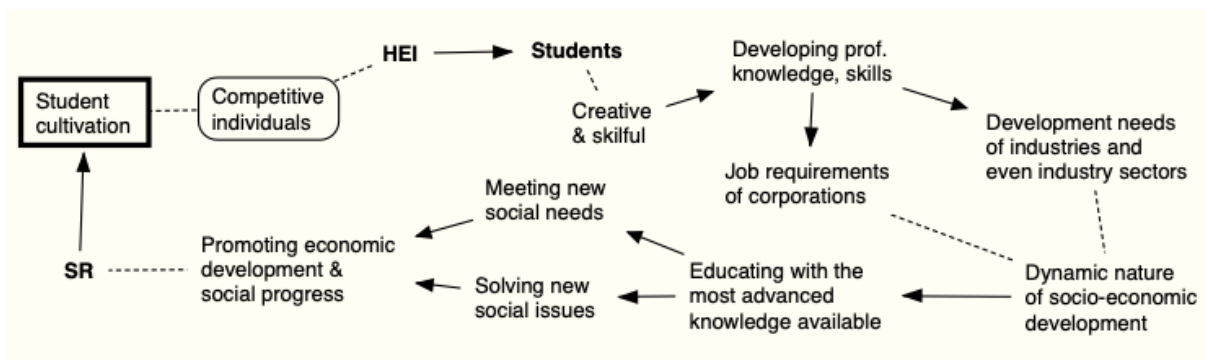


Figure 5-10 HEI's cultivation of competitive individuals

The code **ethical and responsible people** (see Figure 5-11) covers responses indicating the development of an interrelated sense of ethics and responsibility in students. From the stakeholders' perspective, HEIs ought to embed social purpose into their education to reach a higher degree of civilisation. The participants described students whose sense of responsibility has been cultivated by their HEI as being able to meet ethical expectations and behave ethically. More specifically, HEIs expect to cultivate students who will act responsibly at three levels: first, at the fundamental level, as responsible citizens who act responsibly as individuals by following social norms, accepting society's shared values and not seeking to disrupt society; secondly, as responsible employees who act on their sense of commitment and professionalism; and, thirdly, as responsible leaders who can make responsible decisions as organisational representatives,

leading their organisation be more responsible. Overall, this form of cultivation increases students' motivation to be more socially responsible.

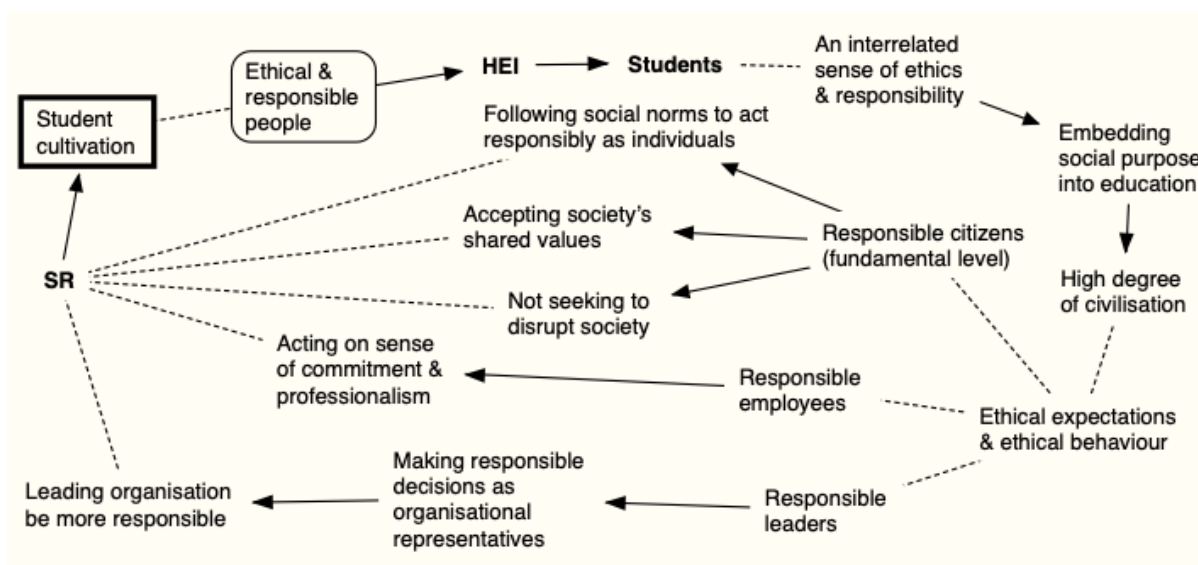


Figure 5-11 HEI's cultivation of ethical and responsible people

In terms of SR, whose knowledge system is already significantly established in the corporate world (in the form of CSR), this is traditionally taught in business schools. According to one respondent, who is a business academic, HEIs are also expected to teach SR as part of their courses in other subjects:

“Because social responsibility is interdisciplinary. For example, a hospital has its social responsibility, a university has its social responsibility. All industries have their own social responsibility, therefore, social responsibility-related courses should be taken by all subjects.”
 (Source: AC-CHN-6, translated by the author)

The institutions mentioned (e.g. ‘hospital’, ‘university’) are in the public sector; hence, the expectation is specific to subjects related to the public sector.

5.3.2 Integration of SR into research activity

Commenting on the role in research, a few participants expected HEIs to consider SR when setting the research aim and objectives, considering the impact of the research, and considering ethical issues in the overall research process. In the context of SR, the code **research aim and objectives** refers to HEI's efforts to transform their research achievements into benefits for society, communities and the world. The code **research impact** covers the effects of HEI's research outside academia; in terms of SR, the participants specified that this includes achieving net zero within an industry and influencing corporate objectives beyond profit maximisation. The code **ethical concerns** relates to the ethical requirements that HEIs need

to follow when conducting research, which involves an awareness of the research’s social use, the genuine benefits it may produce, and any harm it may do to people.

More specifically, as a topical theme, it was suggested that SDGs should be integrated into research activities. In the context of business schools, participants mentioned that HEIs were adopting CSR research. One policymaker in an HEI (PE-CHN-8) proposed research partnerships between universities and industries as way of transforming HEI’s research achievements.

5.3.3 Integration of SR into external activity

As social citizens, HEIs carry out **external activity** [sub-theme] in society. It was perceived by the participants that this kind of activity needs to integrate SR by considering social objectives and purposes other than profit. In this context, the code **non-profit purposes** refers to HEI’s intention of serving society by taking on a moral role and a leadership role in its external engagement and participation. The goals of SR-based external activity can be summarised using the code **social objectives**, which includes the sub-codes **socioeconomic development** (i.e. addressing major issues in HEI’s city and promoting the growth of industry and corporations) (see Figure 5-12) and **public value creation** (i.e. improving public welfare at the individual and community levels) (see Figure 5-13).

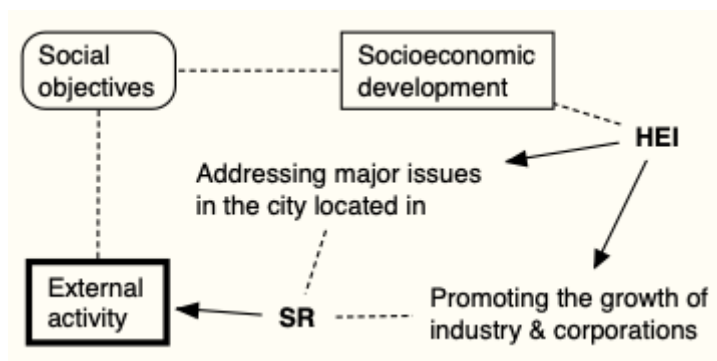


Figure 5-12 HEI’s social objectives of making socioeconomic development

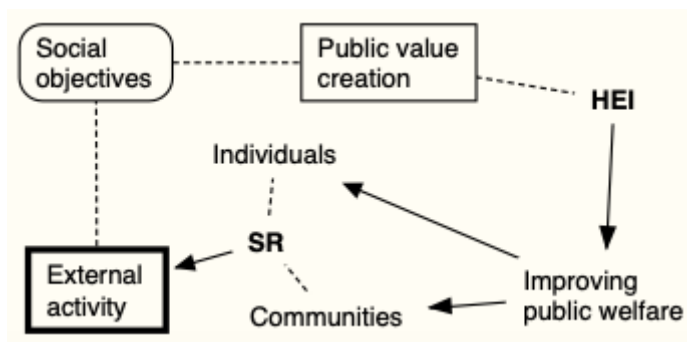


Figure 5-13 HEI’s social objectives of creating public value

One participant (PE-CHN-6) addressed the issue of ‘social equality’ in the creation of public value. The participant stated that this equality should be achieved on two levels: accessibility and quality provision; i.e. widening the access to higher education within different groups in society, followed by guaranteeing the quality of education provided to these groups:

“So in the context of higher education, we may do more contribution to improve educational opportunity of different groups, especially vulnerable groups. And if educational opportunity has been improved, then the next step is to improve their educational experience; i.e. making their access more meaningful.” (Source: PE-CHN-6, translated by the author)

On the basis of the data analysis above, a map covering the three sub-themes with and eight codes related to integration of SR into HEI’s role is shown in Figure 5-14:

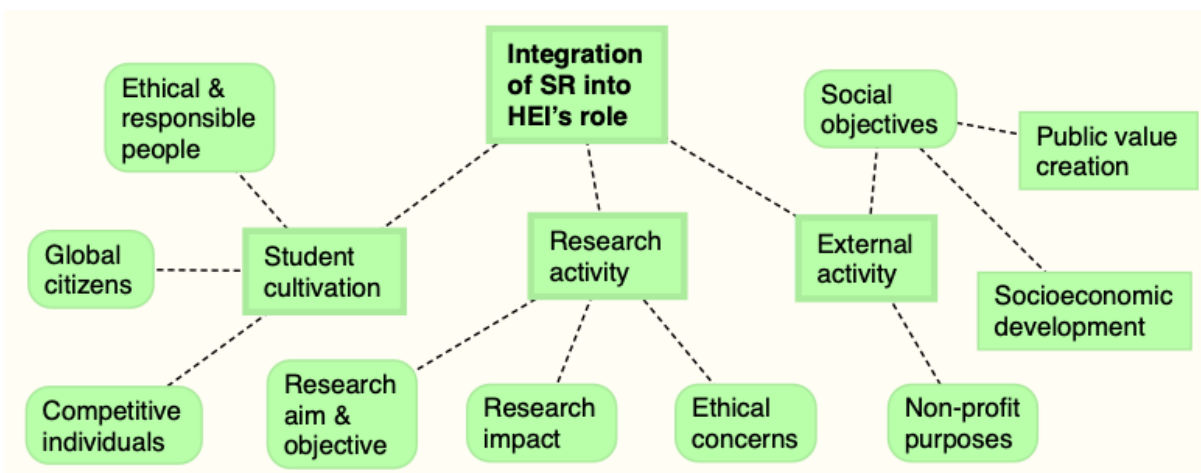


Figure 5-14 Micro-level thematic map for RQ2 (integration of SR into HEI’s role)

5.4 HEI’s responsibility to academic staff

Based on the analysis of the responses from the non-student participants, the author identified three main sub-themes covering perceived responsibility of HEIs to their academic staff (see Figure 5-15). The first of these, **basic rights**, covers the rights of academic staff that must be protected as a minimum, while the second, **career progression**, relates to the responsibility of supporting academic staff to develop in their careers. Thirdly, **educational administration** covers the responsibilities to academic staff that require effort from the administrative groups in HEIs.



Figure 5-15 Meso-level thematic map for RQ2 (HEI's responsibility to academic staff)

Table 5-3 presents the codes and sub-codes defined under the sub-themes above according to the number and frequency of mentions made by the interview participants. Combining the results from both countries, the most widely mentioned topics (from most to least) were coded as follows: **welfare** (with the sub-code 'respect' mentioned most); **income** (with the sub-code 'decent payment' mentioned most); and, equally, **staff development** and **communication**. Similarly, the most important topics for participants were (from most to least important) **welfare** (with the sub-code 'respect' occurring most), **income** (with the sub-code 'decent payment' occurring most) and **communication**.

Among the non-student participants from China, the two most popular codes were **welfare** (with the sub-code 'respect' mentioned most) and **income** (relating to 'decent payment'). These codes also represent the most important topics for the Chinese participants.

Among the non-student participants from the UK, the most popular topics are represented by the codes **welfare**, **communication**, and (jointly) **income** and **staff development**. The same topics were considered to be the most important.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)		N of ppl talking ab it (CHN)		N of ppl talking ab it (UK)		N of occurrences (in total)		N of occurrences (CHN)		N of occurrences (UK)	
Basic rights	Labour rights	-	5		4		1		5		4		1	
	Academic freedom	-	4		3		1		4		3		1	
	Income	Decent payment	7	6	5	5	2	1	10	8	7	7	3	1
		Assurance	7	2	5	0	2	2	10	2	7	0	3	2
	Welfare	Respect	7	7	5	5	2	2	9	9	6	6	3	3
		Inclusion	3	3	2	2	1	1	3	3	2	2	1	1
		Occupational health & safety	14	4	8	3	6	1	22	5	13	3	9	2
	Work-life balance	5	5	2	2	3	3	5	5	2	2	3	3	
Career progression	Career advancement	-	5		4		1		6		5		1	
	Staff development	-	6		4		2		7		5		2	
	Evaluation	-	4		4		0		5		5		0	
Educational administration	Procedures	-	2		2		0		3		3		0	
	Communication	-	6		2		4		8		2		6	
Average			5.888888889		4		1.888888889		7.777777778		5.222222222		2.555555556	

Table 5-3 Statistics for sub-themes and (sub-)codes: HEI's responsibility to academic staff – China vs. UK

The statistics were also analysed on the basis of participants' position (see Table 5-4). From the perspective of PEs, the most popular topic is represented by the code **welfare** (with the sub-code 'respect' mentioned most), followed jointly by the codes **income** (with the sub-code 'decent payment' mentioned most), **staff development** and **communication**. The topics of most importance to PEs are represented by the codes **welfare** (with the sub-code 'respect' occurring most), **income** (with the sub-code 'decent payment' occurring most) and **communication**.

On the other hand, from the perspective of ACs, the topics that were most popular *and* perceived as most important are represented by the codes **welfare** (with the sub-code 'work-life balance' mentioned most) and **income** (with the sub-code 'decent payment' mentioned most).

The further analysis of the most popular and most important topics – i.e. **welfare** (respect), **income** (decent payment), **staff development** and **communication** – is presented in the narrative text with corresponding detailed maps. The remaining topics are analysed in the narrative text only, with the relevant detailed maps provided in Appendix G.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)		N of ppl talking ab it (PE)		N of ppl talking ab it (AC)		N of occurrences (in total)		N of occurrences (PE)		N of occurrences (AC)		
Basic rights	Labour rights	-	5		3		2		5		3		2		
	Academic freedom	-	4		2		2		4		2		2		
	Income	Decent payment		7	6	4	3	3	3	10	8	6	5	4	3
		Assurance			2		1		1	2	2		1		1
		Respect			7		5		2	9		6			3
	Welfare	Inclusion			3		2		1	3		2			1
		Occupational health & safety		14	4	7	3	7	1	22	5	11	3	11	2
		Work-life balance			5		0		5	5		0			5
Career progression	Career advancement	-	5		3		2		6		3		3		
	Staff development	-	6		4		2		7		4		3		
	Evaluation	-	4		2		2		5		2		3		
Educational administration	Procedures	-	2		2		0		3		3		0		
	Communication	-	6		4		2		8		5		3		
Average			5.888888889		3.444444444		2.444444444		7.777777778		4.333333333		3.444444444		

Table 5-4 Statistics for sub-themes and (sub-)codes: HEI's responsibility to academic staff – PE vs. AC

5.4.1 Ensuring basic rights: labour rights, academic freedom, income, welfare

The basic rights of academic staff were perceived to include labour rights, the right to academic freedom, income rights and welfare rights. The code **labour rights** covers the rights that academic staff expected to have in relation to their work and the workplace. With regard to their work, the participants expected HEI’s decisions about them to be justified by relevant content in their employee contracts. They also expected to be able to conduct their teaching and research work without any interference. In addition, they expected to be given opportunities to receive financial support and technical support. In terms of the workplace, the protection of their freedom to join a union and express themselves came into focus. Specific to the academic arena, they called for HEIs to protect their **academic freedom [code]** through the development of relevant policies, which they believed should guarantee free academic exploration and clarify the boundaries of academic freedom:

“So, universities are challenged in terms of how they manage the boundaries between what’s acceptable to speak, to say, and what’s not...” (Source: AC-UK-8)

In terms of **income [code]** (see Figure 5-16), the participants expected their HEIs to guarantee two aspects of this: (1) decent payment; and (2) pensions and insurance. With regard to **decent payment [sub-code]**, the participants expected a basic salary, with payment protection. They expected HEIs to guarantee equal pay for equal work, and have a developed compensation system. The participants also expected **assurance [sub-code]** that their pensions will be protected and insurance will be provided.

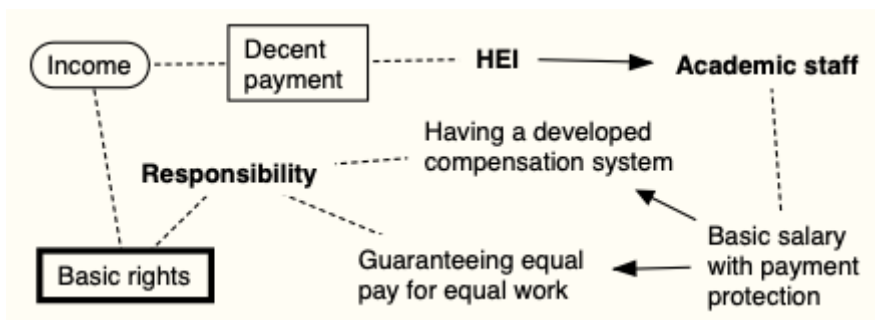


Figure 5-16 HEI’s responsibility to academic staff: decent payment

The second factor with regard to protecting the perceived basic rights of academic staff is **welfare [code]**. The data analysis revealed that the participants expect HEIs can guarantee respect, inclusion, occupational health and safety, and work-life balance for academic staff. With regard to **respect [sub-code]** (see Figure 5-17), this includes employee recognition, privacy, gender equality, and diversity.

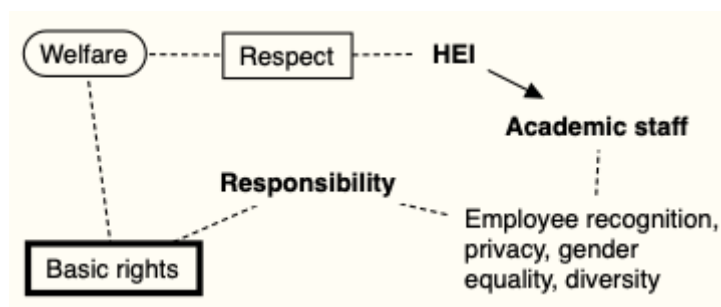


Figure 5-17 HEI's responsibility to academic staff: respect

Regarding the other sub-topics included in welfare, **inclusion [sub-code]** requires HEIs to guarantee that academic staff are provided with a tolerant and harmonious workplace environment where they can be free from gender-based or racial discrimination. The participants also expected HEIs can improve the **occupational health and safety [sub-code]** of their academic staff by ensuring that buildings and facilities are safely constructed and provide staff with a safe work environment, by providing staff with access to a counselling service, and by incentivising staff to take part in physical activities. HEIs are expected to ensure a **work-life balance [sub-code]** for academic staff by managing the boundary between work and life, providing academic staff with opportunities to take part in activities outside work and have a better experience on campus.

5.4.2 Guaranteeing career progression: staff development, career advancement, staff evaluation

During the interviews, it was identified that academic staff have their own ambition to make progress in their career. They expected to have opportunities to develop themselves (i.e. staff development) and make advances at work (i.e. career advancement). Correspondingly, they expected HEIs to improve the evaluations they use.

The code **staff development** (see Figure 5-18) is related to the development of professionalism among academic staff. The participants expected HEIs can provide academic staff with opportunities to mutually share work experience, learning and training, along with opportunities to build networks so that they can make a difference (to other colleagues in the workplace). With regard to **career advancement [code]**, HEIs need to provide academic staff at different levels with guidance on how to get promoted in their teaching and research role, set fair rules for getting promoted, and provide staff with opportunities to perform non-academic roles. **Evaluation [code]** was considered to be an important factor in the development of the teaching and research work of an HEI's academic staff. HEIs were also expected to reduce quantitative assessment, make student assessment fairer to academic staff, emphasise peer assessment and qualitative assessment, and extend the period of assessment of staff.

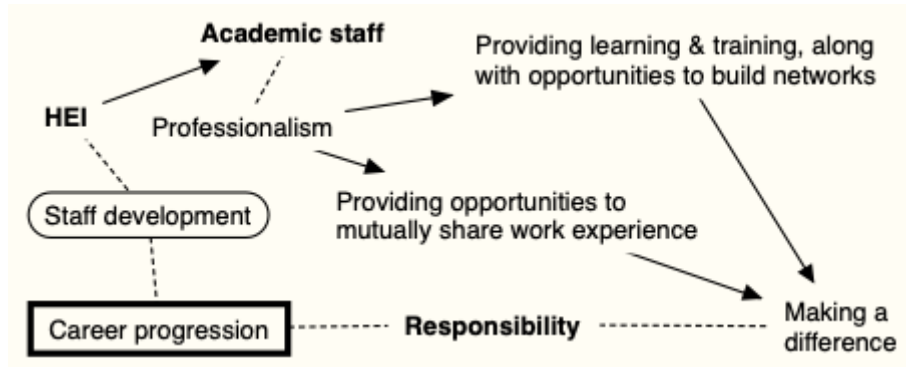


Figure 5-18 HEI's responsibility to academic staff: staff development

5.4.3 Improving educational administration: procedures, communication

According to the interview responses, as part of HEI's responsibility to academic staff, participants expected these institutions to improve their administrative procedures and administrative communication. **Procedures [code]** refers to a set of regulations and principles established by HEI to manage the institution's academic staff. In general, the participants expected academic staff are provided with a fair and just environment. Besides, the participants also expected HEIs to 'flatten' their management so that fewer restrictions are imposed on academic staff, which, in turn, strengthens their academic freedom.

At the administrative level, **communication [code]** (see Figure 5-19) was perceived to be informative and mutual so that academic staff can feel supported and develop a sense of belonging. Therefore, HEIs were expected to provide clear guidelines on administrative processes and cascade the information to academic staff at different levels.

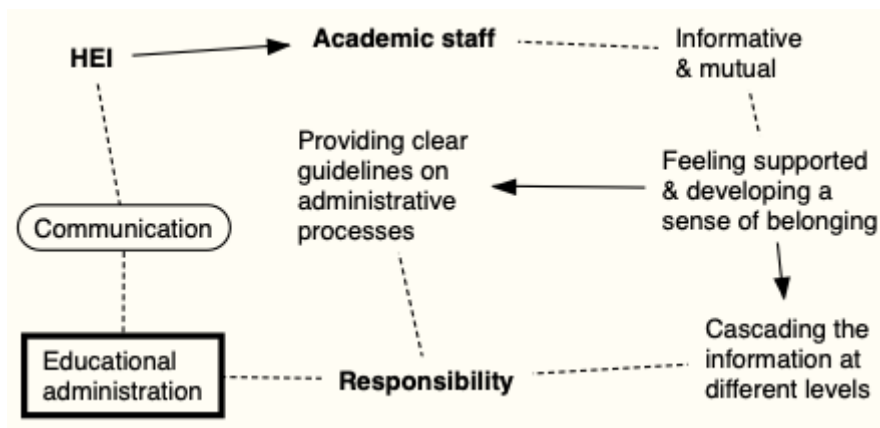


Figure 5-19 HEI's responsibility to academic staff: improving administrative communication

On the basis of the data analysis in this section, a map covering the three sub-themes and nine codes related to HEI's responsibility to academic staff is shown in Figure 5-20:

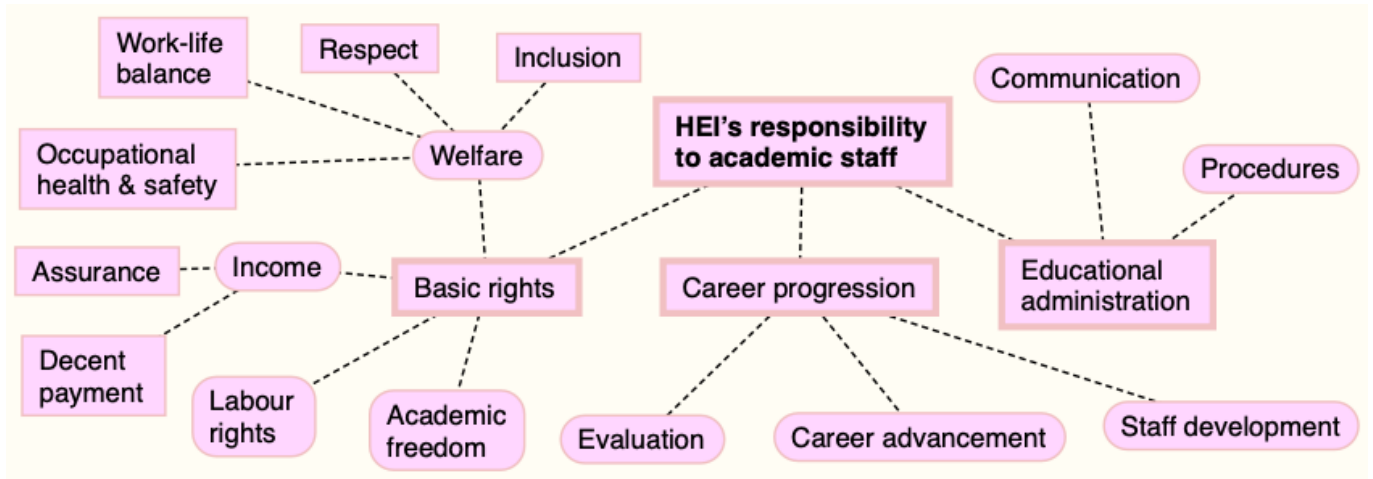


Figure 5-20 Micro-level thematic map for RQ2 (HEI's responsibility to academic staff)

5.5 HEI's responsibility to students

Based on an analysis of the perspectives gathered from all stakeholders involved in the fieldwork, the author identified three main sub-themes with regard to HEI's responsibility to students (see Figure 5-21). Similar to the academic staff, the students have **basic rights** that HEIs are expected to protect, and HEIs are responsible for specific aspects of students' **learning and development**. The interviewees also expressed the view that HEIs have responsibilities related to students' future **career**.

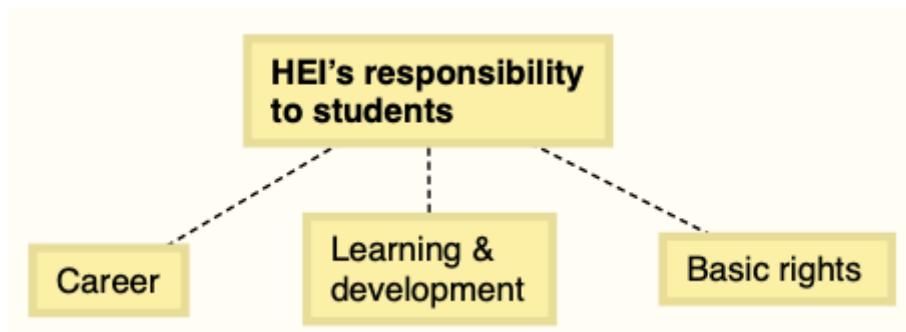


Figure 5-21 Meso-level thematic map for RQ2 (HEI's responsibility to students)

Table 5-5 presents the relevant codes and sub-codes within the theme of HEI's responsibility to students, with the number of interviewees who mentioned each topic and the frequency with which the topics were mentioned. Considering all the responses, the two most frequently mentioned topics were coded under **welfare** (with the sub-code 'health and safety on campus' mentioned most) and **quality education** (with the sub-code 'learning experience' mentioned most). The topics perceived as most important were coded under **quality education** (with the sub-code 'learning experience' occurring most); these were followed by the topics coded under **welfare** (with the sub-code 'health and safety on campus' occurring most).

Among the participants from China, the most popular and the most important topics were represented by the same three codes (from most to least): **quality education** (with the sub-code 'learning experience' mentioned most); **welfare** (with the sub-code 'health and safety on campus' mentioned most); and **planning and preparation**.

The analysis of the UK responses revealed that the most popular and the most important topics were covered by the codes **welfare** and **quality education**. In terms of perceived importance, within the code **quality education** the sub-code 'teaching quality' occurred the most.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)		N of ppl talking ab it (CHN)		N of ppl talking ab it (UK)		N of occurrences (in total)		N of occurrences (CHN)		N of occurrences (UK)	
Basic rights	Welfare	Health & safety on campus	19	13	10	8	9	5	29	18	15	12	14	6
		Campus culture		10		3		7		11		3		8
	Extracurricular life	-	6		3		3		6		3		3	
Learning & development	Quality education	Teaching quality	19	9	14	5	5	4	33	12	26	7	7	5
		Learning experience		13		11		2		21		19		2
		Social engagement		2		1		1		2		1		1
	Practical opportunities	Internships & placements	8	4	6	4	2	0	9	5	7	5	2	0
		Research activities		1		0		1		1		0		1
	Entrepreneurship		1		1		0		1		1		0	
Career	Planning & preparation	-	9		9		0		10		10		0	
	Quality graduates	-	3		2		1		3		2		1	
	Alumni engagement	-	2		1		1		2		1		1	
Average			9.428571429		6.428571429		3		13.14285714		9.142857143		4	

Table 5-5 Statistics for sub-themes and (sub-)codes: HEI's responsibility to students – China vs. UK

The statistics for HEI's responsibility to students were also analysed by considering the participants' role (see Table 5-6). From the perspective of the EDUs, the codes **welfare**, **quality education**, and **practical opportunity** represented the more popular topics (from most to least). Similarly, the EDUs perceived **welfare**, followed by **quality education**, as more important.

On the other hand, from the perspective of STRs, the codes that represented the most popular topics (from most to least) were **quality education** (with the sub-code 'learning experience' mentioned most), **welfare** (with the sub-code 'health and safety on campus' mentioned most), **planning and preparation**, and **extracurricular life**. In a similar vein, the topics perceived as more important (from most to least) were coded under **quality education** (with the sub-code 'learning experience' occurring most), **welfare** (with the sub-code 'health and safety on campus' occurring most) and **planning and preparation**.

The further analysis of the more popular and more important topics within the theme of HEI's responsibility to students – i.e. **welfare** (health and safety on campus) and **quality education** (learning experience) – is presented in the narrative text with corresponding detailed maps. The remaining topics are analysed in the narrative text only, with the relevant detailed maps provided in Appendix G.

Sub-theme	Code	Sub-code	N of ppl talking ab it (in total)		N of ppl talking ab it (EDU)		N of ppl talking ab it (STU)		N of occurrences (in total)		N of occurrences (EDU)		N of occurrences (STU)	
Basic rights	Welfare	Health & safety on campus	19	13	9	5	10	8	29	18	11	6	18	12
		Campus culture		10		5		5		11		5		6
	Extracurricular life	-	6		0		6		6		0		6	
Learning & development	Quality education	Teaching quality	19	9	8	5	11	4	33	12	11	6	22	6
		Learning experience		13		4		9		21		5		16
	Social engagement		2		2		0		2		2		0	
	Practical opportunities	Internships & placements	8	4	4	1	4	3	9	5	4	1	5	4
		Research activities		1		1		0		1		1		0
	Entrepreneurship		1		0		1		1		0		1	
Career	Planning & preparation	-	9		1		8		10		1		9	
	Quality graduates	-	3		3		0		3		3		0	
	Alumni engagement	-	2		1		1		2		1		1	
Average			9.428571429		3.714285714		5.714285714		13.14285714		4.428571429		8.714285714	

Table 5-6 Statistics for sub-themes and (sub-)codes: HEI's responsibility to students – EDU vs. STR

5.5.1 Ensuring basic rights: welfare, extracurricular life

Different from the findings relating to the academic staff, the protection of students’ basic rights includes their welfare and their extracurricular life. According to the findings of the data analysis, students’ **welfare [code]** includes their health and safety on campus and the campus culture they enjoy. The sub-code **health and safety on campus** (see Figure 5-22) refers to HEI’s responsibility to improve their students’ mental health, physical health, protect personal safety, as well as ensuring the safety of their property: HEIs need to improve their counselling and psychological services by increasing the number of psychology tutors and enabling students to have an access to the right people to talk. In addition, HEIs need to promote knowledge related to mental health to their students. Because, in their views, addressing these issues can lead to more positivity and optimism among students, reduce feelings of pressure and prevent negative thoughts and even extreme behaviour. Related to this, violence on campus was another main concern for the interviewees. This violence can happen either online or in person. HEIs need to protect students from cyberviolence by tracing sources of negative information and deleting that information. In addition, HEIs were required to be aware of external visitors on campus to reduce the likelihood of assault and harassment. In general, HEIs need to promote the laws which protect against violence need to their students.

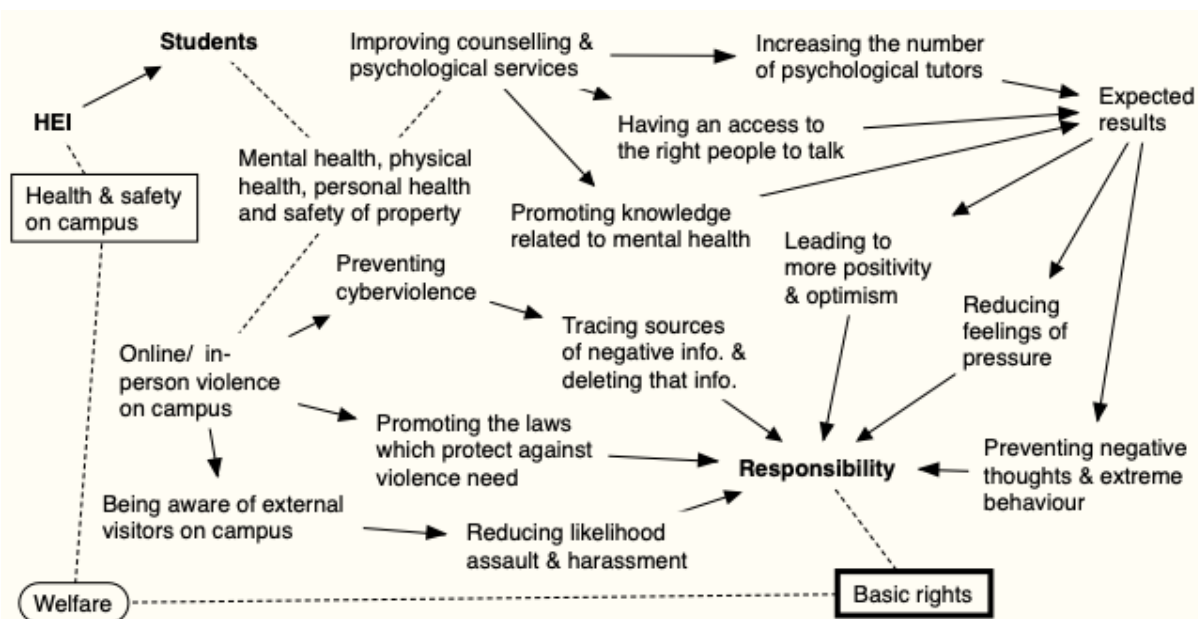


Figure 5-22 HEI’s responsibility to students: health and safety on campus

One participant shared her thoughts on her PhD experience. From this narrative, it seems that PhD students have a higher requirement for mental health care than may be required by students at a lower level:

“when I was a student, me and my colleague like my peers, we[’re] all really suffering from pressure, and we all have some extent physical reaction to the pressure like either not feeling well or we’re having some issues with all, you know, that your bodies tells us that you’re on depression... At that

time is actually meeting someone within the field that you can talk to. Like, I can talk to some really senior person who understands but not are my supervisors, someone else who understands the difficulty of writing papers, the difficulty of starting publishing, the difficulty of finding a job. And that really makes me feel better.” (Source: AC-UK-4)

Another respondent who talked about her experience as an international student presented some concerns that might not be shared by home students. This calls for specialised mental health care for international students:

“... like Chinese students going [to universities] overseas, their language [proficiency] is not good enough to make a communication, and the cultural issues are not completely harmonious [overseas]. So, if there’s a cultural impact to make a significant change in life, it’s best [for them] to have a psychological counselling, or at least a related tutorial.” (Source: STR-UK-3)

Under the sub-code **campus culture**, the participants expressed the expectation that students should be provided with a fair, welcoming, inclusive and nurturing campus environment. They expected their HEIs to listen to students and to provide transparent explanatory information. They also mentioned the need for HEIs to concern themselves with issues relating to diversity and equality on campus and ensure that students feel they belong to their HEIs. HEIs need to ensure that their campus culture nurtures students and instils their values. One interviewee gave the example of attaining a gender balance among teaching staff, which implies that campus culture is not an ‘extra’ to be created, but reflects the integration of HEI’s values into its practices:

“... power relationship. The group of teacher is a power, and students have no power. Therefore, if the majority in the power group are male while the majority in the powerless group are female, the female students might think they are powerless people. And if male teachers do not have good gender awareness, they cannot recognise the needs of female students. So if there are more female teachers, they can help female students [more]. What I talked above is ‘gender balance’. This is very important in higher education institute.” (Source: PE-CHN-6, translated by the author)

The code **extracurricular life** refers to the part of student life that exists outside their academic curriculum. The participants mentioned areas of extracurricular life with which they may need help from their HEI. They mentioned that they expect their HEI to arrange extracurricular activities that do not clash with their academic curriculum. In terms of daily life, they stated that HEI ought to enable students to adapt to life in their new town, city or country, and facilitate the process of finding rented accommodation and renovating that accommodation if needed.

5.5.2 Emphasising learning and development: quality education, practical opportunities

To fulfil their responsibility for students' learning and development, the participants expected HEIs can provide students with quality education and practical opportunities. The relevant responses revealed two sub-topics related to providing **quality education [code]**. The first is **teaching quality [sub-code]**: interaction in class, teaching content, and teaching staff. It was perceived that HEIs ought to teach their students by using real-life case studies and the cutting-edge knowledge. Teaching group was expected to be (very) international so that through the teaching they receive, students are presented with diverse opinions and ideas and are given examples of best practice. This teaching provision enables students to fill gaps in their skills and gain a fuller understanding of the world they are living in, their responsibilities to the society and in the wider world. In addition, teaching quality is reflected in student assessments and graduate satisfaction levels, and the participants felt that HEIs ought to take these elements into account.

The second sub-topic of quality education was coded **learning experience [sub-code]** (see Figure 5-23). This refers to the competencies students need to achieve through their learning: rationality; morality and ethics; practicality; creativity and innovation; and professionalism. Learning experience is also related to the quality of the learning facilities provided. In general, this requires HEIs to provide students with a satisfactory library where students can study in quiet surroundings, access a large number of learning resources, and easily find a seat and a space to work. Furthermore, teaching buildings are expected to be renovated if needed.

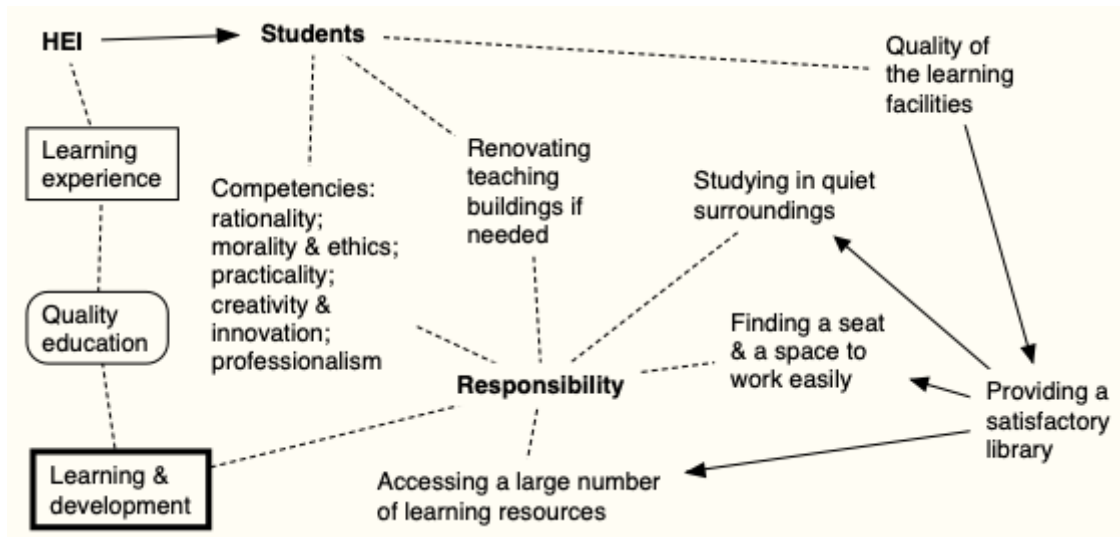


Figure 5-23 HEI's responsibility to students: providing a good learning experience

When discussing the learning experience, a number of participants complained that there were not enough seats in the library. The majority of these participants suggested that the solution would be to ask HEI for more resources; i.e. more seats, more study spaces, and even more libraries. One participant suggested that this issue could be resolved through better management:

“I personally feel that the better [solution] is that the university operate a kind of management... for the library, students want to go, and there will be a phenomenon of occupying seats. But if the university can manage it well, like, [before] going to the library, the students need to apply for the seats for self-study. So, when I want to have self-study, [I will know] how many seats in the library today [are available], and today this seat can be used by me. If I don't apply for it at this time slot, I will make another application for another time slot. I think this will make the resources more reasonable and standardised to be used.” (Source: STR-CHN-14, translated by the author)

With regard to their responsibility for providing students with **practical opportunities [code]** the participants expected HEIs to: (1) give students opportunities to participate in **social activities [sub-code]**, particularly by adopting a service-learning approach; (2) provide more choices of **internships and placements [sub-code]**, including providing opportunities in outstanding organisations, matching the work content to students' specialisms and offering subsidies and a living wage; (3) involve students in **research activities [sub-code]** that matches their (research) interests; and (4) provide opportunities for **entrepreneurship [sub-code]** including start-up guidance, a cooperative network and a workspace.

5.5.3 Facilitating careers: planning and preparation, quality graduates, alumni engagement

Regarding HEI's responsibility for students' careers, the participants considered a starting point to be providing students with assistance with career **planning and preparation [code]**. In this regard, having considered students' main concerns, the participants suggested HEIs could provide them with career-finding tests and relevant careers guidance to facilitate their planning for employment or further study. They also suggested HEIs could offer students training that is relevant to their career choice and help them prepare their CVs.

In addition to assisting students to access their chosen career (more easily), the participants expected HEIs ensure that they produce **quality graduates [code]**. In the workplace, this quality is presented as employability, which enables graduates to secure a competitive salary and rewards. In the academic context, this quality is evidenced by students securing a place at a top university for their further study. In general, quality graduates are expected to be capable of creating social value, improving people's lives, and contributing to the development of their country in the future.

After graduating from their HEIs, students become alumni. Several participants thought that HEIs have a responsibility to engage them, i.e. **alumni engagement [code]**. HEIs are expected to help graduates make social connections in geographical areas and offer them a spiritual home in those areas.

On the basis of the data analysis above, a map covering the three sub-themes and seven codes relevant to HEI's responsibility to students is shown in Figure 5-24:

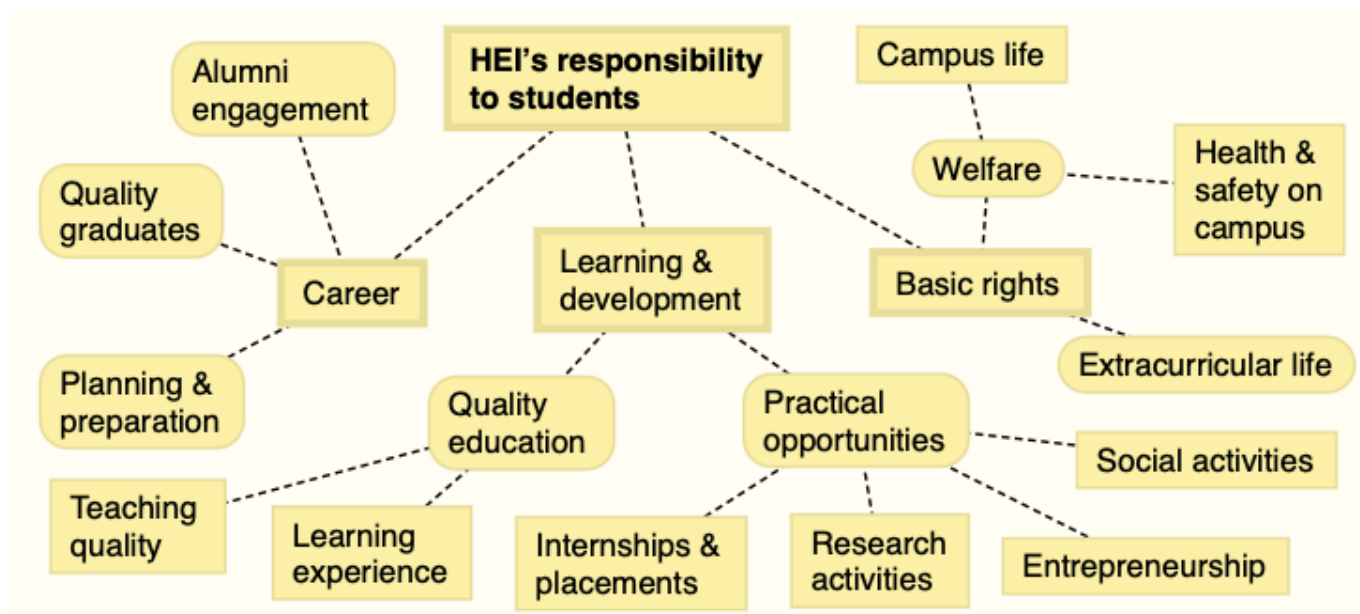


Figure 5-24 Micro-level thematic map for RQ2 (HEI's responsibility to students)

5.6 HEI's responsibility to external stakeholders

Table 5-7 presents the codes and sub-codes relevant to participants' perceptions of HEI's responsibility to external stakeholders, according to the number and frequency of mentions (for the detailed maps, see Appendix G). Although the data were not rich enough to develop multiple sub-themes for HEI's responsibility to external stakeholders, the responses clearly showed that HEIs have two main external stakeholders: the government and the public. Correspondingly, HEIs have a responsibility to meet expectations of government and communicate and engage with the public.

Code	Sub-code	N of ppl talking ab it (in total)	N of ppl talking ab it (CHN)	N of ppl talking ab it (UK)	N of quotes (in total)	N of quotes (CHN)	N of quotes (UK)
Expectations of government	Socioeconomic development	4	3	1	5	4	1
	Development of education	4	3	1	7	6	1
Communication & engagement with the public	Regional brand	1	1	0	1	1	0
	-	2	1	1	2	1	1
Average		3	2	1	4.5	3.5	1

Table 5-7 Statistics for (sub-)codes: HEI's responsibility to external stakeholders

To meet **expectations of government [code]**, the participants expected HEIs can contribute to **socioeconomic development [sub-code]** by collaborating with industry sectors, cultivating competitiveness in students, and transforming research findings into contributions to society. HEIs were also expected to engage in **development of education [sub-code]** by increasing educational opportunities and becoming a **regional brand [sub-code]** that represents the cultural aspects of their governed area.

Through **communication and engagement with the public [code]**, HEIs improve the public’s understanding of HEIs themselves. To this end, HEIs were expected to disclose relevant information to the public and engage in relevant external activities.

On the basis of this data analysis, a map covering the two codes related to HEI’s responsibility to external stakeholders is shown in Figure 5-25:

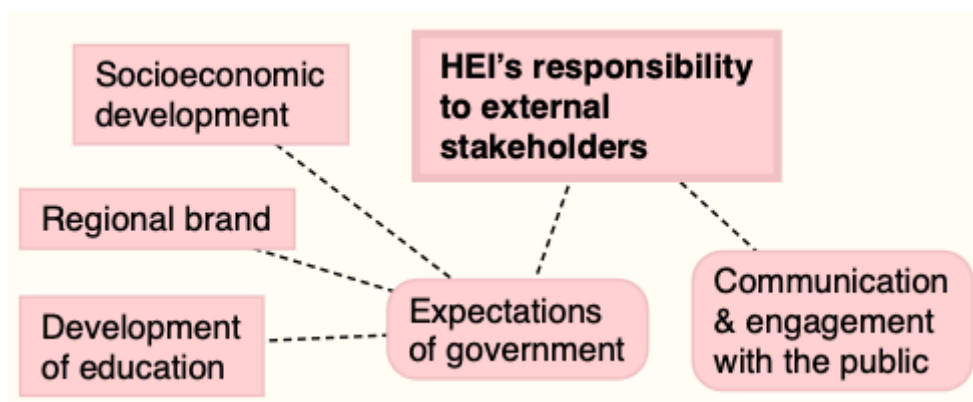


Figure 5-25 Micro-level thematic map for RQ2 (HEI's responsibility to external stakeholders)

5.7 Summary

The analysis of the data presented in this chapter showed that, from the perspective of HEI policymakers and executives, academic staff and students, there are five main aspects of CSR in the HE sector. The first aspect is HEI’s motivation to be socially responsible. The intrinsic motivation in this regard stems from the public nature of HEIs and their own cultural and spiritual legacy. In terms of extrinsic motivation, on the one hand, the positive intentions of building a reputation, making an impact, distinguishing themselves, gaining accreditation, gaining ‘corporate benefits’, and presenting as important social organisations drive HEIs to be socially responsible; On the other hand, accountability and liability encourage HEIs to avoid risk through (mandatory) SR.

The second aspect of CSR is HEI’s integration of SR into its main roles. These roles consist of the cultivation of students, research activity, and external activity. To integrate SR into the cultivation of

students, HEIs ought to focus on competitiveness, ethics and responsibility, and global citizenship in students. They also need to integrate SR when setting research aims and objectives, considering the potential impact of research and considering ethical concerns. In HEI's external activities, they need to take non-profit purposes and social objectives into account.

The third aspect of CSR is HEI's responsibility to its academic staff, including upholding their basic rights (i.e. labour rights, academic freedoms, income, and welfare), supporting their career progression (i.e. individual development and career advancement), and improving the relevant administrative aspects (i.e. the procedures governing academic staff and the communication with these staff). The fourth aspect is HEI's responsibility to its students, incorporating upholding their basic rights (i.e. welfare and support with extracurricular aspects of life), learning and development (i.e. providing quality education, practical opportunities and quality teaching). The fifth and final aspect is HEI's responsibility to its external stakeholders, which the participants mainly perceived as the government and the public. Correspondingly, HEI has two main responsibilities: meeting expectations of government and communicating and engaging with the public. This is summarised in Figure 5-26:

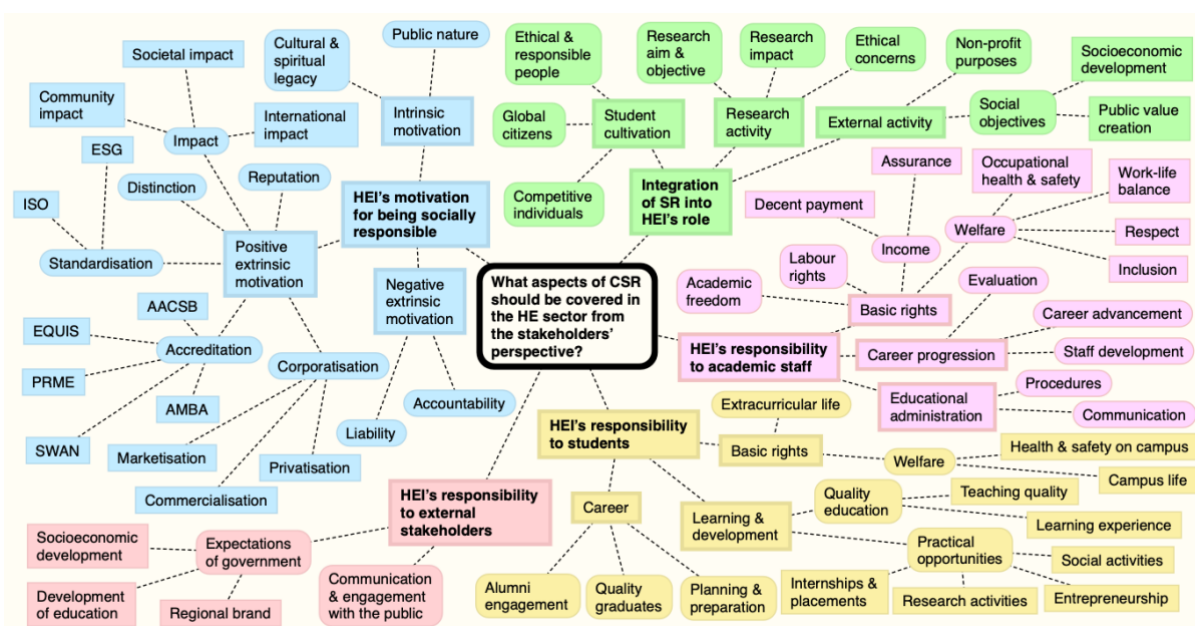


Figure 5-26 Mega thematic map for RQ2

Appendix H shows that in general, the popularity and importance of the topics and sub-topics mostly have a positive relationship. Besides the (sub-)topics mentioned by the participants from one country or one stakeholder group only, differences in popularity and/or importance according to country or stakeholder type were present in the following topics. Firstly, in terms of HEI's motivation for being socially responsible, **impact** was less popular and less important among participants from China, but more popular and more important among the UK participants; the sub-topic **community impact** was particularly popular

and important for the UK participants. **Corporatisation** was less popular among participants from China but more popular among participants from the UK, with the sub-topic **marketisation** being particularly popular for the UK participants. Meanwhile, **accreditation** was more important for participants from China and less important for the UK participants, with the sub-topic **EQUIS** being particularly important among participants from China.

Secondly, in the context of integrating SR into HEI's role, the topic **research aim and objectives** was less popular among participants from China but more popular among participants in the UK. However, the opposite was true for the topic **non-profit purpose**. In terms of the topic **social objectives**, the sub-topic **socioeconomic development** was particularly popular in China, and **public value creation** was particularly important in the UK. The topic **competitive individuals** was more popular and more important among participants from China, but it was less popular and less important for the UK participants.

When considering HEI's responsibility to its academic staff and students, it was crucial to take into account the attributes of stakeholders, including power, legitimacy, and urgency. This is particularly relevant to RQ2, which focuses on the "stakeholders' perspective".

Regarding HEI's responsibility to its academic staff, HEI policymakers/executives are part of the management group and hold significant power, while academic staff themselves are comparatively less powerful. As members of the management group, HEI policymakers/executives' perceptions of the legitimacy of their responsibility to the managed individuals generally aligns with their positional power. Additionally, the importance placed on this responsibility depends on the urgency to fulfil the needs of HEI's development, as HEI policymakers/executives are responsible for enhancing the institution. However, for academic staff, their individual legitimate interests are personal, and the urgency of HEI's responsibility to them may depend on their individual situations. Furthermore, the legitimacy of HEI's responsibility to academic staff may not necessarily consider the overall interests or development of the institution as a whole.

A similar dynamic applies to the consideration of HEI's responsibility to students from the perspectives of the educators (HEI policymakers/executives and academic staff) and students themselves as the recipients of education. In analysing the data in this context, it is important to take into account the positions of the participants, in addition to the country context.

Under the theme of responsibility to academic staff, there were differences in perceptions for the following topics: **welfare** (with the sub-topic **respect** being particularly popular and important for participants from

China, and for HEI policymakers and executives); **income** (with the sub-topic **decent payment** being particularly popular and important in China); **communication** (less popular and less important for participants in China and for academic staff, but more popular and more important for UK participants and for PEs); and **staff development** (less popular among participants from China but more popular for UK participants, and both more popular and important for HEI policymakers and executives but less popular or important for academic staff). Finally, in terms of responsibility to students, there were differences in the following topics: **welfare** (with the sub-topic **health and safety on campus** being particularly popular and important in China); **quality education** (the sub-topic **learning experience** was particularly popular and important in China and among student representatives; while the sub-topic **teaching quality** was particularly important in the UK); **practical opportunities** (more popular among educators and less popular among student representatives); career **planning and preparation** (less popular or important for educators but more popular and important for student representatives).

Chapter 6: Data analysis and findings: CSR performance improvement in the HE sector

6.1 Introduction

The responses to the research question “*How can CSR performance be improved in the HE sector?*” can be categorised into four main themes (see Figure 6-1). These are presented in this chapter as follows. The first theme, ‘improving HEI’s environmental impact’, is presented in Section 6.2. This is followed by the second theme, ‘improving HEI’s stakeholder management’, in Section 6.3. The third theme, ‘improving the functions of HEI’ is presented in Section 6.4, and the fourth theme, ‘developing HEI’s SR leadership from top to bottom’ is outlined in Section 6.5. A summary of the data analysis presented in this chapter is provided in Section 6.6. [The symbols used in thematic maps are explained in Chapter 3, Table 3-6, p.69]

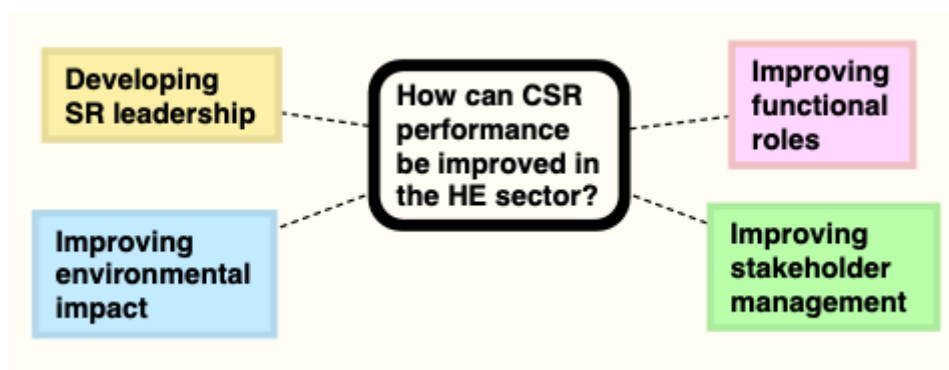


Figure 6-1 Macro-level thematic map for RQ3

6.2 HEI’s improvement of its environmental impact: climate action, resource efficiency

According to the data analysis, there are two main sub-themes when considering improvements related to an HEI’s environmental impact (see Figure 6-2). First, as climate change is an increasingly important global issue, improvements need to be made through **climate action [sub-theme]**. Second, the topic of resources is inextricably linked to that of the environment; therefore, **resource efficiency [sub-theme]** is another area to be improved.

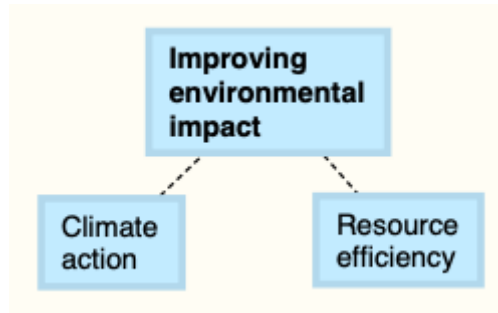


Figure 6-2 Meso-level thematic map for RQ3 (improving environmental impact)

Table 6-1 presents the relevant codes under the theme of HEI’s improvement of its environmental impact, and the frequency with which they were mentioned during the interviews. Given that the data used to develop this theme were mainly derived from the interviews with the UK respondents, the topics under this theme may fit with HEIs in the UK. Among the non-student participants, the topics within the codes **climate solutions** and **climate targets** were perceived as more important. The analysis of these topics is presented in the narrative text with corresponding detailed maps; the remaining topics are analysed in the narrative text only, with the relevant detailed maps provided in Appendix I.

Sub-theme	Code	N of occurrences (in total)	N of occurrences (CHN)	N of occurrences (UK)
Climate action	Climate targets	7	0	7
	Climate solutions	9	0	9
Resource efficiency	Energy use	4	1	3
	Waste management	4	0	4
Average		6	0.25	5.75

Table 6-1 Statistics for sub-themes and (sub-)codes: improving environmental impact

6.2.1 Climate action: targets and solutions

HEIs need a clear understanding of what they want to achieve and how they will achieve it in practice. This necessitates HEIs setting their own **climate targets [code]** (see Figure 6-3) relating to climate change. According to the data analysis, this target is the path to achieving net zero. By measuring all emissions classed as scope 1, 2 and 3,³ an HEI can understand the full extent of its campus emissions. This measurement can be used to track HEI’s progress towards becoming carbon neutral. Based on the

³ In the corporate context, scope 1, 2 and 3 emissions are defined as follows: scope 1 – direct emissions from sources owned or controlled by the company, including those from company-owned or company-operated facilities and vehicles; scope 2 – emissions from the generation of electricity purchased by the company; scope 3 – all other indirect emissions within a company’s value chain. Upstream scope 3 emissions come from activities involved in the creation of a company’s goods or services, including those from employee travel and commuting to work, and those in the supply chain from the production of purchased goods and services used or sold by the company. Downstream scope 3 emissions come from the distribution or use of a company’s goods, including the disposal of products. (Chapter Zero, n.d.) [In the context of this thesis, ‘company’ refers to ‘HEI’]

understanding of their total emissions, the participants suggested HEIs can improve their approach to measurement in two ways: (1) by measuring the cost of the operations that produce emissions (e.g. supply chain emissions, procurement emissions); or (2) by attempting to conduct qualitative work on emissions. Better measurement approaches give HEIs more insight into the scope 1, 2 and 3 emissions being produced, which enables them to reduce these emissions in a more targeted way. Reducing scope 1, 2 and 3 emissions is an efficient way to reduce greenhouse gas emissions, enabling HEIs to achieve carbon neutrality⁴ and eventually net zero⁵.

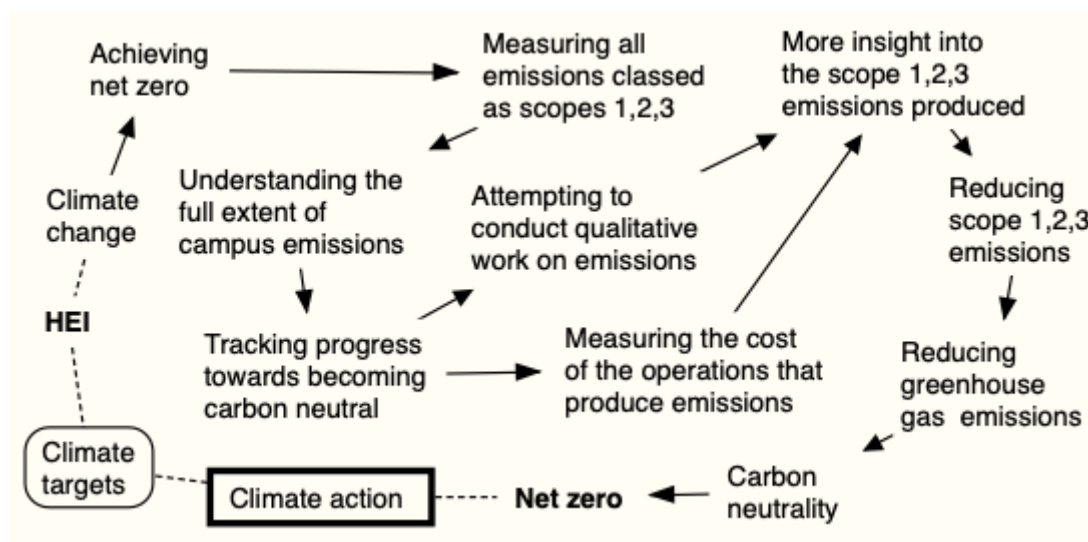


Figure 6-3 Setting climate targets

By definition, reducing an organisation’s carbon footprint⁶ is a central **climate solutions [code]** (see Figure 6-4). Therefore, HEIs need to commit to reducing their carbon footprint and introduce relevant initiatives. The data analysis showed that to reduce their carbon footprint, HEIs are focusing on staff and student travel. In terms of staff, HEIs are taking two approaches to changing travel behaviour: (1) by tightening up the requirements for business travel; and (2) by introducing incentives to encourage staff to adopt more sustainable modes of travel, such as walking, cycling or using public transport. As for students, HEIs are reducing their total carbon footprint directly by scaling down student recruitment, offering more online degree courses and making remote learning more attractive so that more students are willing to move online. Indirectly, HEIs are making efforts to reduce students’ flying time per year (given that air travel is the form of transport that makes the biggest contribution to HEI’s carbon footprint) by: (1) discouraging students

⁴ Carbon neutrality means balancing carbon emissions with the amount of carbon absorbed from the atmosphere by carbon sinks. (European Parliament, 2022)

⁵ Net zero means cutting greenhouse gas emissions to as close to zero as possible, with any remaining emissions re-absorbed from the atmosphere, by oceans and forests for instance. (United Nations, n.d.)

⁶ A carbon footprint is the total amount of greenhouse gases (including carbon dioxide and methane) that are generated by our actions. (The Nature Conservancy, n.d.)

from flying home during their academic learning time; (2) providing students (especially international students) with better festivals on campus (to encourage them to stay on campus to attend the festivals); and (3) giving students incentives to adopt eco-conscious travel behaviour. HEIs are also going beyond their carbon footprint to consider their ecological footprint⁷.

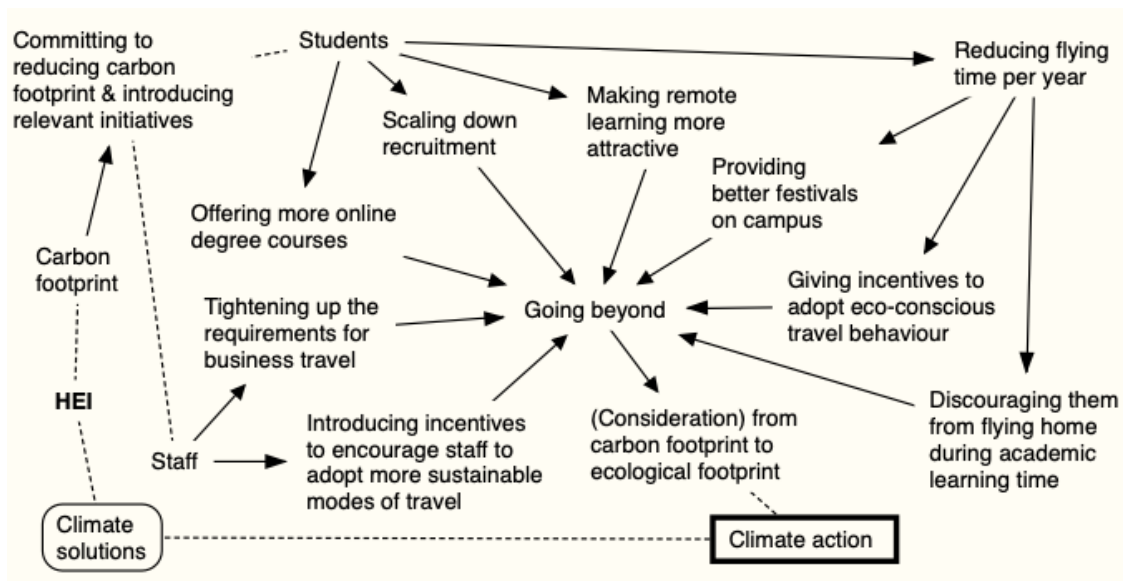


Figure 6-4 Finding climate solutions

Becoming carbon neutral is an important climate-related target for HEIs to achieve in the course of improving the environmental aspect of their SR performance. Given the current level of progress towards this target, the participants suggested HEIs can make a considerable contribution by limiting their international mobility, especially that of international students – a major group of people within an HEI. However, HEIs may face a dilemma in finding a balance between environmental and economic targets:

“On the one hand, we’ve got quite ambitious targets to be carbon neutral, we declare to play at a management and then institutional level; On the other hand, the business school is seen as a cash cow, and we get large number of international students and provide a lot of revenue for the university.”
(Source: PE-UK-9)

6.2.2 Maximising efficiency of resources: energy and waste

The analysis of the relevant data indicated that in the main, when referring to using resources more efficiently the participants focused on energy use and waste management. Based on the suggestions from the participants, HEIs can make an effort to optimise their **energy use [code]** by reducing their energy consumption and by using energy from renewable sources, the majority of which are low carbon (including

⁷ An ecological footprint is the impact of human activities measured in terms of the area of biologically productive land and water required to produce the goods consumed and to assimilate the waste generated. (WWF, n.d.)

wind, solar or hydro power). In this context, constructing ‘green buildings’ was considered a win-win solution that reduces both energy consumption and carbon intensity.

In the context of **waste management [code]**, the participants referred to minimising the waste produced on campus: To begin with, HEIs need to measure the (amount of) rubbish they produce. Given that paper is the main source of waste on campus, initially they can make efforts to consume less paper. Meanwhile, HEIs can make their recycling facilities more accessible so that less waste ends up in landfill.

On the basis of the data analysis presented in this section, a map covering the two sub-themes and four codes relating to HEI’s improvement of its environmental impact is shown in Figure 6-5:

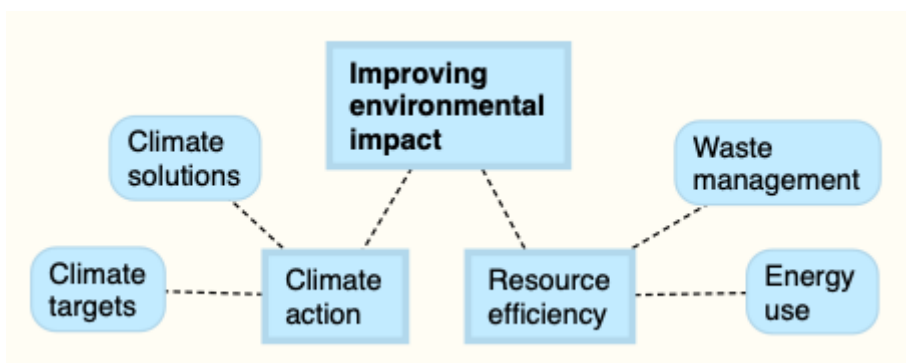


Figure 6-5 Micro-level thematic map for RQ3 (improving environmental impact)

6.3 HEI’s improvement of stakeholder management

The data analysis revealed that HEIs also need to improve their stakeholder management. Stakeholders can be either internal or external; correspondingly, improvements can be made to the management of both of these categories of stakeholders (see Figure 6-6). The analysis showed that improvements of internal stakeholder management need to focus on issues related to welfare (i.e. **welfare on campus [sub-theme]**), in particular ensuring that internal stakeholders’ human rights are protected on campus. On the other hand, it is also expected that HEIs improve their relationship with external stakeholders. In this regard, they need to improve their **external engagement [sub-theme]**.

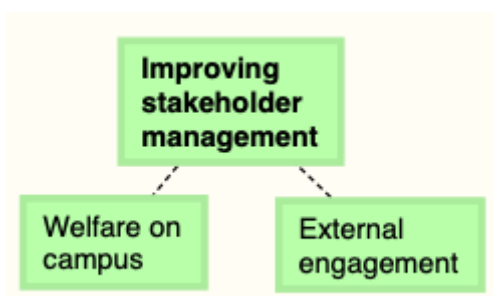


Figure 6-6 Meso-level thematic map for RQ3 (improving stakeholder management)

Table 6-2 demonstrates the frequency with which the interviewees mentioned topics that were coded under the theme of HEI’s proposed improvement of stakeholder management. Among the non-student participants, the aspect perceived as the most important was coded **DEI** (with the sub-code **DEI in the workplace** occurring most), followed by **intensifying external engagement** (with the sub-code **intensifying NPO partnerships** occurring most). This perception of importance was consistent across the non-student participants in China and in the UK. The further analysis of these topics is presented in the narrative text with corresponding detailed maps. The topics perceived as less important are presented in the narrative text only, with relevant detailed maps provided in Appendix I.

Sub-theme	Code	Sub-code	N of occurrences (in total)		N of occurrences (CHN)		N of occurrences (UK)	
Welfare on campus	Mental health	-	3		3		0	
	DEI	DEI in the workplace	17	10	8	5	9	5
		DEI in education		7	3			4
External engagement	Innovation	-	3		2		1	
	Intensification	Partnerships with NPOs	11		9	3	6	6
		Partnerships with corporations			2	2		0
Average			8.5		4.5		4	

Table 6-2 Statistics for sub-themes and (sub-)codes: HEI’s improvement of stakeholder management

6.3.1 Improving welfare on campus: mental health, DEI

In terms of welfare issues on campus, the demand for **mental health [code]** services can be high, and treatment can be long-term. To ensure that HEI has the capacity to provide the relevant support, the participants suggested the number of private consultation rooms can be increased. Moreover, as the majority of the psychological consultations are provided to students, additional mental-health professionals can be hired to provide mental-health support to staff. To identify students’ mental-health issues at an earlier stage, a pre-entry psychological test can be provided to new students. By doing the above, HEI’s internal stakeholder groups – staff and students – can be guaranteed better access to mental health.

DEI [code] issues are also a welfare consideration, and they were interpreted in different ways by students and staff. In practice, **DEI in education [sub-code]** tends to focus on inclusion and gender equality at the student level. The participants suggested HEIs can scale up their student recruitment to reach a broader range of students who need or want to be educated (based on HEI’s capacity). This wider access can reach a larger number of potential students from minority and disadvantaged backgrounds. In terms of widening access to minorities, it was suggested that HEIs need to compare the ratio of this student group on campus with the ration of that group in the wider population the relevant country; this will show whether a reasonable proportion of students from the relevant minority group has been included in HE. Regarding

disadvantaged students, the participants suggested HEIs can start by making more places available to these groups, followed by (proactively) encouraging these (potential) students to engage with them. Once they have recruited disadvantaged students, HEIs can pay attention to meeting their needs, which may be influenced by psychological and cultural aspects. Lastly, gender equality in education can be improved by considering the ratio of female to male students in different subjects (e.g. engineering courses). The outcomes of DEI improvements in education can be evaluated by monitoring the retention of the student groups mentioned above; i.e. students from minority or disadvantaged backgrounds and female students.

Improving **DEI in the workplace** [sub-code] (see Figure 6-7) refers to ensuring diversity and gender equality in HEI's workforce. According to current expectations, diversity in the workforce is reflected not only in the nationality of employees but also in their ethnicity. The participants suggested HEIs can recruit (more) people from minority backgrounds. Meanwhile, they also need to consider if there is slave labour transition. Gender equality is also important for achieving good performance in terms of DEI. To improve gender equality, the participants suggested HEIs can make more effort to provide gender-based care – childcare facilities, address the gender pay gap – male employees are paid 'typically up to 10-20% more' (Source: AC-UK-1) – and achieve (a reasonable) gender ratio in the workforce.

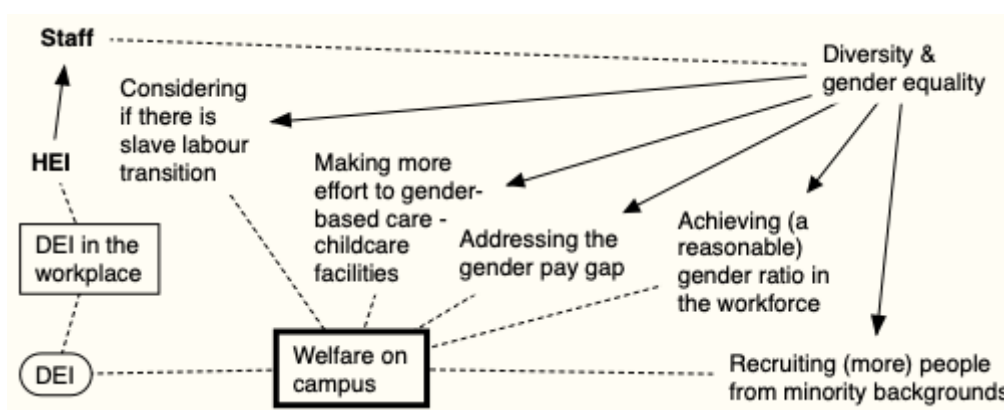


Figure 6-7 HEI's improvement of DEI in the workplace

6.3.2 Improving external engagement: innovation and intensification

The data analysis revealed that HEIs can improve their performance in external engagement with stakeholders in two main ways: innovation and intensification. To meet newly emerging social needs, there are calls for **innovation** [code] in HEIs' external engagement. The participants suggested, as a starting point, HEIs can renew their external engagement strategy in order to respond to topical issues. After engaging with external stakeholders in new ways, it is good practice to get feedback from stakeholders so HEI can improve these "new things". Despite most of HEIs being not-for-profit institutions, it was suggested that they can innovate their collaboration model to go beyond philanthropy and adopt an

entrepreneurial mindset. They can develop a win-win/multi-win model to improve their external engagement in this area.

To evaluate improvements in an HEI’s engagement with external stakeholders, HEI can measure its performance against indicators relating to **intensification [code]**. In practice, external stakeholders fall into two main groups: NPO partners and corporate partners. In terms of **intensifying NPO partnerships [sub-code]** (see Figure 6-8), the participants suggested HEIs can consider the indicators that demonstrate their connection to these partners; e.g. number of NPO partners, number of projects (with these partners), amount of interaction time (on these projects), and number of people in HEI (staff and students) participating in these projects. In relation to individual members of staff, it was suggested that HEIs can track the support they provide to NPOs in areas of social deprivation (in specific); e.g. technical assistance, managerial services and advice. It is also important to consider the maintenance of the partnership.

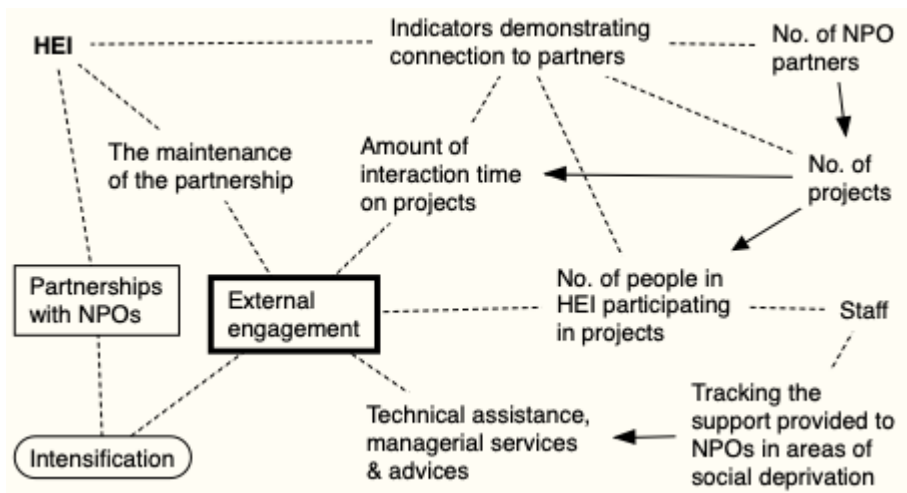


Figure 6-8 HEI's intensification of NPO partnerships

In **partnerships with corporations [sub-code]**, HEIs provide business consultancy and corporate education to their corporate partners. The participants suggested HEIs can improve their performance in this regard by considering the relevant indicators, such as the number of consulting reports offered to corporations, the number of lectures given to corporations (e.g. on how to deal with Covid-19), and the amount of training time provided to corporations. Furthermore, to develop closer partnerships, it was suggested that HEIs can diagnose corporate culture for their corporate partners.

On the basis of the data analysis above, a map covering the two sub-themes and four codes related to improving HEI stakeholder management is shown in Figure 6-9:

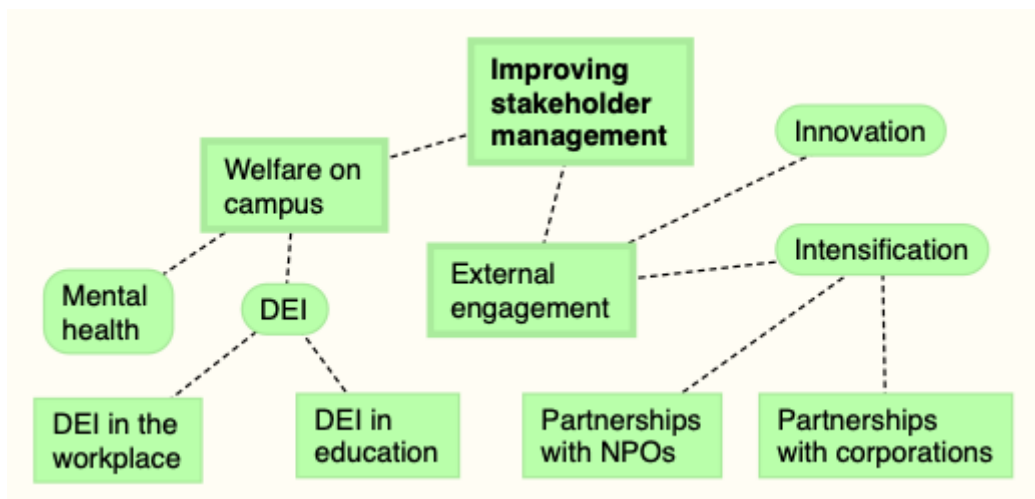


Figure 6-9 Micro-level thematic map for RQ3 (improving stakeholder management)

6.4 HEI's improvement of functional roles

The data analysis revealed that the participants thought that HEIs also need to improve their functional roles – education and research (see Figure 6-10). More specifically, the participants referred to the need for HEIs to improve their **quality of education** [sub-theme] and their **research impact** [sub-theme].

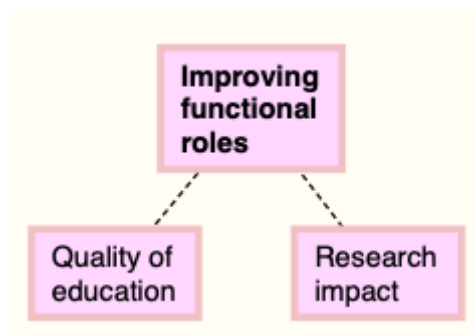


Figure 6-10 Meso-level thematic map for RQ3 (improving functional roles)

Table 6-3 shows the relevant codes and sub-codes under the theme of propositions for improving HEI's functional roles, and the frequency of mentions of each (sub-)code. As this theme was mainly developed by analysing the data from China, the findings may apply to HEIs in China only. The two topics perceived as most important by the non-student participants (in order of importance) were coded as **graduate outcomes** (with the sub-code **employment** occurring most) followed by **educational experience** (with the sub-code **educator** occurring most). The further analysis of these two topics is presented in the narrative text with corresponding detailed maps. The rest of the topics mentioned are presented in the narrative text only, with the detailed maps provided in Appendix I.

Sub-theme	Code	Sub-code	N of occurrences (in total)	N of occurrences (CHN)	N of occurrences (UK)
Quality of education	Educational experience	Educators	4	4	0
		Educational content	7	2	6
		Educational support	1	1	1
	Graduate outcomes	Employment	9	7	0
		Social responsibility	2	9	0
Research impact	Impactful research projects	-	5	4	1
	Impactful research output	-	5	5	0
Average			6.5	6	0.5

Table 6-3 Statistics for sub-themes and (sub-)codes: HEI's improvement of its functional roles

6.4.1 Improving quality of education: educational experience, graduate outcomes

The data analysis indicated that the aspects of educational quality that HEIs can improve are the educational experience and graduate outcomes. According to the responses analysed, the students' **educational experience [code]** is mainly influenced by (1) HEI's educators; (2) the educational content provided; and (3) the educational support offered. To improve the educational experience, HEIs can focus on enhancing these three aspects of quality. The participants consider **educators [sub-code]** (see Figure 6-11) have a close relationship with students. To improve the quality of the educational experience, it was proposed by the participants that the student-teacher ratio needs to be considered (if it is appropriate). Besides, the competencies (encompassing their educational background and research outputs) and ethics of educators can also be considered, because these elements can influence the quality of their students' educational experience.

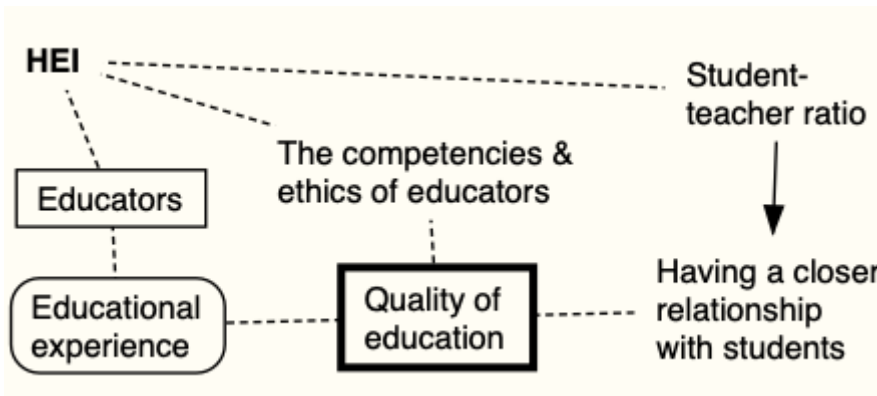


Figure 6-11 Improving educators

The content taught to students can also be improved. Regardless of the **educational content [sub-code]** delivered, it was suggested that HEIs can consider its practical applications and (industry) best practice to

maintain a high-quality educational experience. In addition to the content of the education provided and the educators who deliver it, **educational support [sub-code]**, which facilitates the delivery of education, is an indispensable part of the educational experience. To ensure a positive experience, the participants suggested HEIs can consider (the quality of facilities and devices for) their laboratory, their intellectual teaching, and their academic resources.

From an outside perspective, **graduate outcomes [code]** can be measured as an indicator of the standard of educational quality provided by HEI. Quality assurance can be achieved by improving students' employment outcomes and SR outcomes after graduation. From the perspective of **employment [sub-code]** (see Figure 6-12), this improvement can be measured by monitoring the following performance indicators outcomes: graduates' salary; their success in their career, including getting a job in a prestigious organisation (e.g. Top 500 enterprises); their participation in further study; their work as a public servant; and feedback from their employers on their employability.

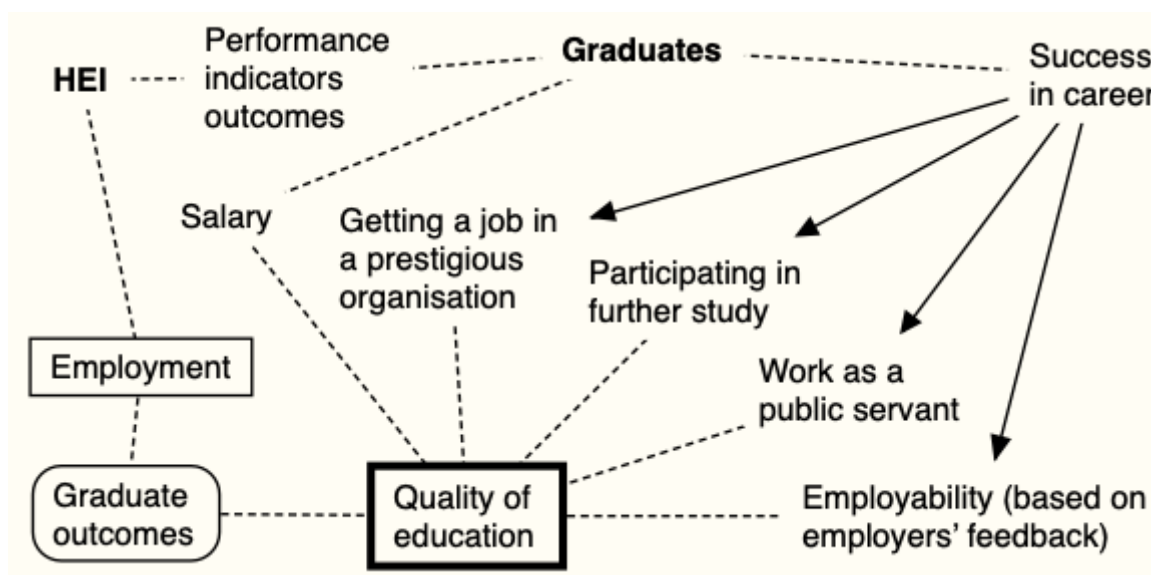


Figure 6-12 Improving graduates' employment

The analysis of the relevant responses revealed that the majority of the interviewees only focused on the “next stop” for the students after graduation. For example, for graduates who go straight into the labour market, HEI may only keep a record of the first job these graduates get. For the graduates who plan to continue with their studies, HEI might simply record whether students' applications for further study are successful; however, it may also be worth considering tracking the future careers of these graduates:

“This is related to how we develop the criteria to measure the employment rate. One criterion can be the stability of graduates' employment; i.e. we can improve this indicator by defining how long a graduate has been in a position that can be considered valid employment. Nowadays, the systems for tracking and paying return visits isn't complete. Usually the tracking only continues for one year.”
 (Source: AC-CHN-8, translated by the author)

HEIs are not factories, and their graduates are cultivated not only for serving a business. Given that HEIs have a sense of responsibility to society and their students are members of communities, graduate outcomes can be improved if an awareness of **social responsibility [sub-code]** is nurtured in students. To measure this, it was suggested that HEIs can monitor whether their graduates provide support for areas experiencing social deprivation; on the other hand, they can track social misconduct by their graduates (e.g. crime).

6.4.2 Improving research impact: impactful research projects and outputs

Research is another main function of HEIs, and the data analysis suggested that HEIs can improve the impact of their research activity in two main ways. First, to improve the (overall) impact of their research, HEIs can develop more **impactful research projects [code]**. To start with, they can consider the number of successful grant applications for high-level research projects and the grant amounts received. These indicators can be used to evaluate opportunities of HEIs to make an impact through their research.

On the other side, HEIs' can work towards ensuring that their **research output [code]** is more impactful. They can measure this impact by using the following indicators: (the indicators about) patent approvals; the number of publications in journals with a high impact factor; the transferability of the research findings; and the impact of (all) HEI's (research) databases (registration, citation, publication).

On the basis of the data analysis above, a map covering the two sub-themes and four codes relating to HEI's improvement of its functional role is shown in Figure 6-13:

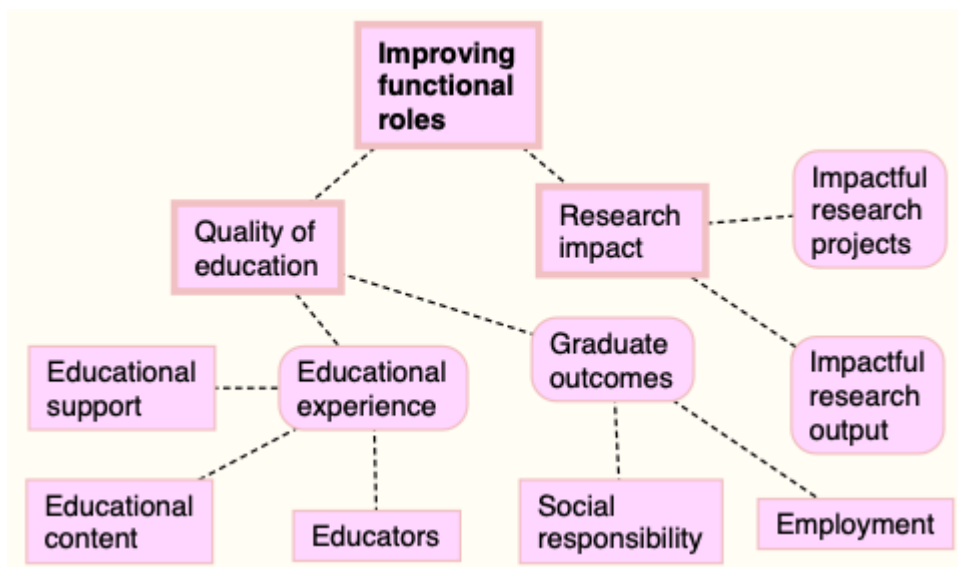


Figure 6-13 Micro-level thematic map for RQ3 (improving functional roles)

6.5 Developing SR leadership from top to bottom

The data analysis also revealed that HEIs need to develop their leadership with regard to SR (see Figure 6-14). The participants expect this leadership can be developed in HEI's high-level management and in HEI's functional roles (see Section 6.4), i.e. developing SR leadership through relevant **high-level activities** [sub-theme] as well as **functional-level activities** [sub-theme].



Figure 6-14 Meso-level thematic map for RQ3 (developing SR leadership)

Table 6-4 shows the frequency with which the interviewees mentioned topics that were coded under the theme of developing SR leadership in HEI. Among the non-student participants, the topics perceived as more important were coded under **SR engagement in education** (with the sub-code **SR engagement in class** occurring most). In the main, this perception was consistent among participants from both countries; however, the participants from China also perceived **SR administration** as important. The further analysis of these topics is presented in the narrative text with corresponding detailed maps. The rest of the topics are presented in the narrative text only, with relevant maps provided in Appendix I.

Sub-theme	Code	Sub-code	N of occurrences (in total)	N of occurrences (CHN)	N of occurrences (UK)
High-level activities	SR decision making	-	4	1	3
	SR administration	-	5	3	2
Functional-level activities	SR engagement in education	SR engagement in class	12	2	10
		SR engagement in extracurricular life	3	2	1
	SR engagement in research	-	3	1	2
Average			6.75	2.25	4.5

Table 6-4 Statistics for sub-themes and (sub-)codes: developing SR leadership from top to bottom

6.5.1 Undertaking high-level SR-led activities

As part of being more socially responsible, it was suggested that HEIs can develop their SR leadership so that the staff and students are led to engage with SR. Prior to implementing SR in practice, HEIs need to legitimise their SR engagement; this can more effectively lead people to act in a socially responsible way.

HEI's engagement with SR can be legitimised through the institution's high-level activities. In this regard, the leadership team can make decisions on SR engagement; i.e. **SR decision making [code]**. Through the development of strategies focusing on SDGs, they can develop relevant policies for responsible and sustainable management. These strategies and policies can emphasise and encourage SR engagement so that the whole HEI can work together to achieve SR-related goals.

Under the relevant strategies and policies, the participants suggested HEIs can facilitate engagement with SR by considering specific administrative issues (see Figure 6-15); i.e. **SR administration [code]**. It was also suggested that HEIs can establish relevant administrative entities; e.g., an office for SR-related reaccreditation, a foundation or committee to fund SR projects, and a central database for SR. Additionally, the participants suggested HEIs can consider which indicators to use to interpret the effect of their SR engagement online, such as the number of views of SR-related videos and pages on HEI's website.

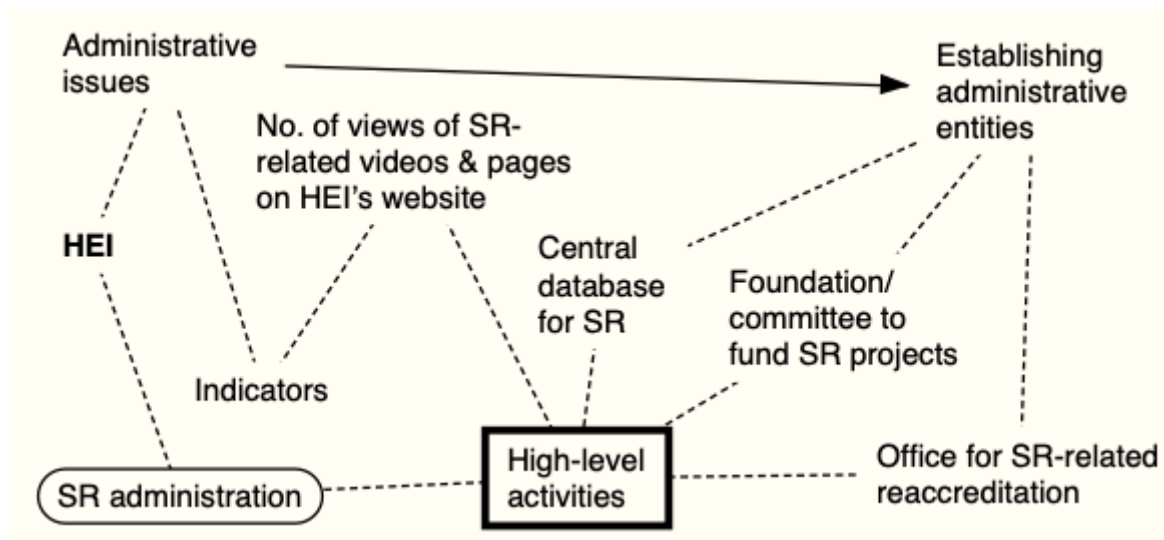


Figure 6-15 HEI's SR engagement: administration

6.5.2 Undertaking functional-level SR-led activities

The data analysis also suggested HEIs can focus on SR engagement in their activities at the functional level; i.e. education and research. Traditionally, **education [code]** refers to the class teaching provided by HEIs. Therefore, HEIs can boost **SR engagement in classes [sub-code]** (see Figure 6-16). It was suggested that HEIs can also advocate for SR in faculties to raise awareness among teaching staff, which can be followed by providing training to develop the capabilities and skills needed by teaching staff to integrate SR into their classes. As part of this process of integration, HEIs need to consider the indicators on NPO-related cases, courses offered (e.g. business ethics, sustainability), teaching time, and intended learning objectives in these classes. The participants also suggested he HEIs can consider how many student dissertations are

related to responsible and sustainable development. Further improvement can be made by contextualising SR in class and setting SR-related graduate attributes.

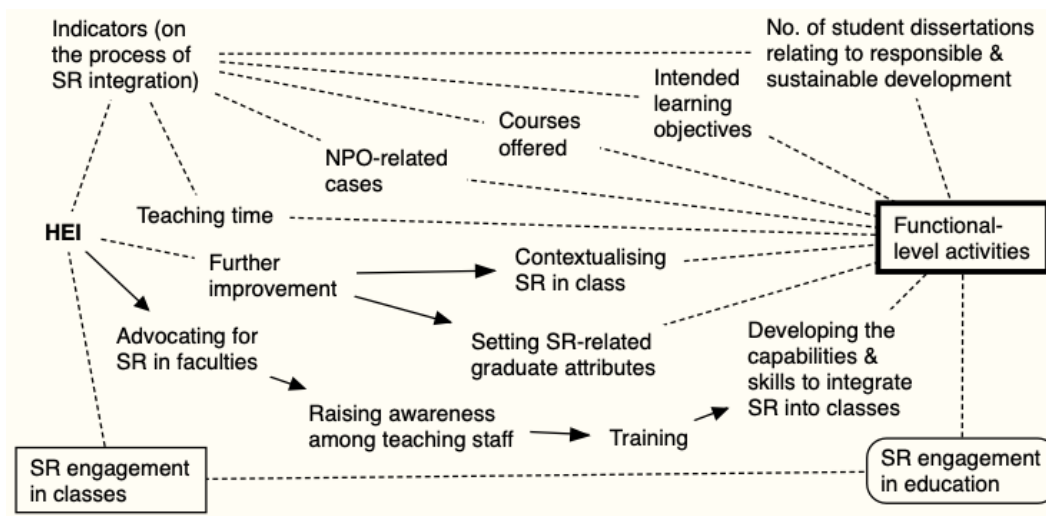


Figure 6-16 HEI's SR engagement in classes

In addition to providing more SR-related content in class, the data analysis suggested HEIs can lead students to be more socially responsible in their **extracurricular life [sub-code]**. A relevant model in education is 'service learning', which involves engaging community services with students' learning. The participants suggested HEIs can enhance this provision by introducing it into elective modules in all courses offered to students. It was also suggested that HEIs can provide incentives to motivate students to participate in SR-related activities on campus. These incentives, as explained by the data analysis, can be of benefit to students' graduate point advantage and offering SR-related scholarships.

To enhance SR engagement in HEI's **research [code]** function, it was suggested that HEIs first need to consider how many of their research projects and publications are related to SR. Further, HEIs can evaluate whether they have established research centres for SR-related studies. Based on these evaluations, and considering the current (global) context, HEIs can encourage their staff to take up research challenges related to SDGs.

In line with the data analysis presented above, a map covering the two sub-themes and four codes under the theme of HEI's development of SR leadership is shown in Figure 6-17:

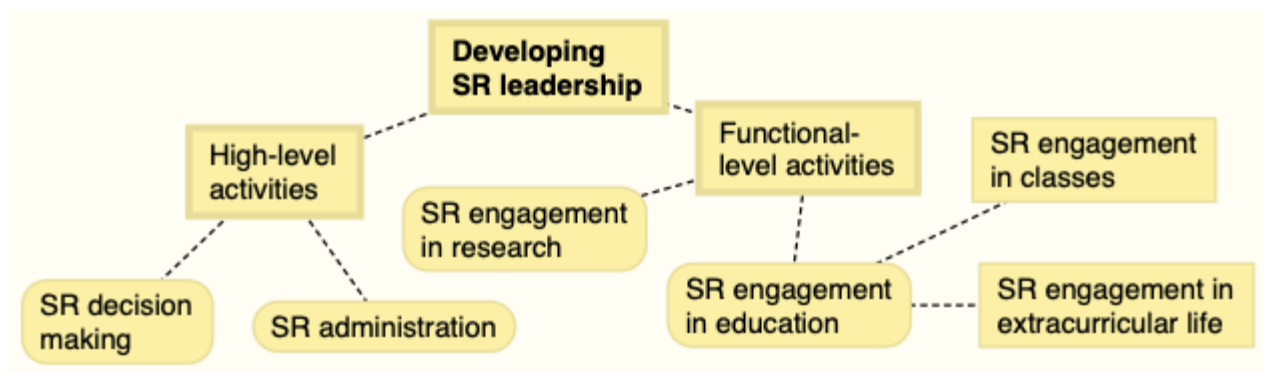


Figure 6-17 Micro-level thematic map for RQ3 (developing SR leadership)

6.6 Summary

According to the data analysis presented in this chapter, the suggestions for how HEIs can enhance their CSR activities can be categorised into four main areas. To begin with, it was suggested that HEIs can have a more positive impact on the environment by increasing the effectiveness of their climate actions (through climate solutions and climate targets) and improving their resource efficiency (with regard to energy use and waste management). The need to improve stakeholder management was also proposed as an important concern. The responses focused mainly on issues related to welfare on campus and external engagement. Data relating to the former focused on mental health and DEI issues, while data on the latter focused on innovation and intensification in external engagement. The third main proposal for improvement was related to HEIs' functional roles, including education and research activities. The proposals for improving the quality of education included considering the educational experience provided and the graduate outcomes achieved. Improvements to research activities are reflected in their impact, depending on (the content of) the research project and the research output. Lastly, suggestions were provided for developing HEIs' leadership in SR. This leadership encompasses not only HEIs' high-level activities (i.e. decision

making and administration), but also their functional-level activities, including education and research (see Figure 6-18).

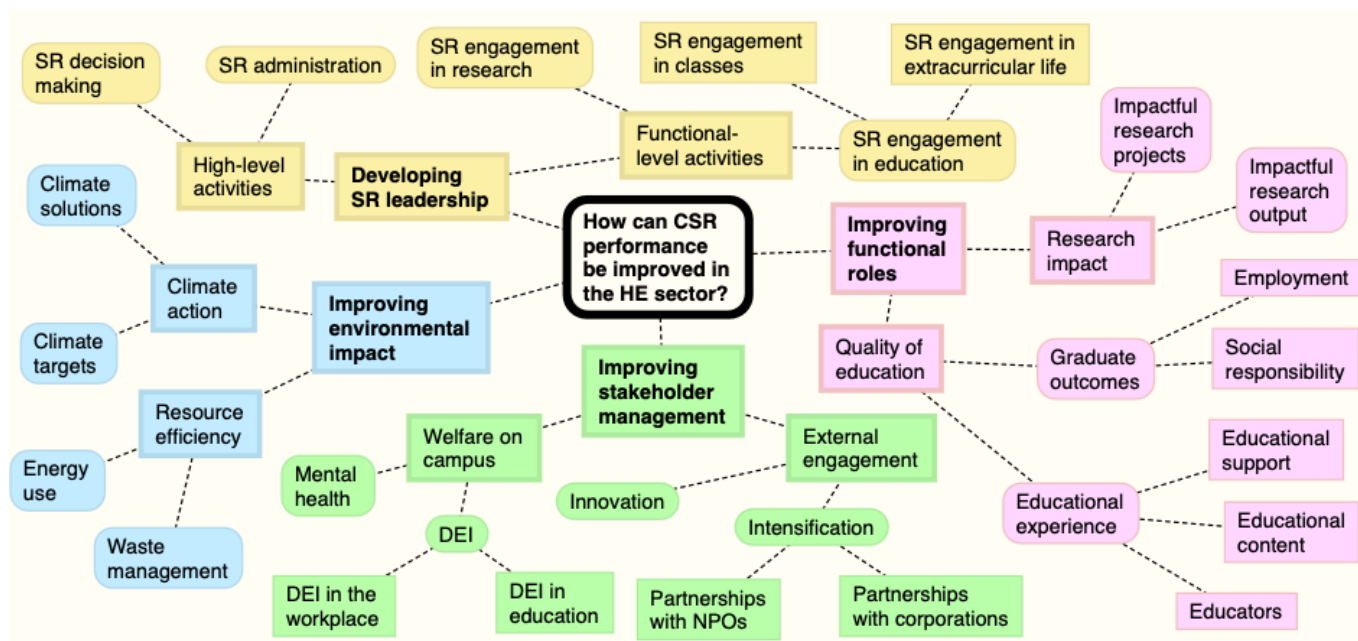


Figure 6-18 Mega thematic map for RQ3

The data presented in Appendix J shows that the perceived importance of the topics and sub-topics is mostly along the same lines. Apart from the (sub-)topics mentioned by participants from only one country, differences in perceived importance were identified in relation to the following topics. With regard to improving stakeholder management, the participants in China attached more importance to the sub-topic **DEI in the workplace**. Under the theme of SR leadership development, the topic **SR administration** was perceived as more important topic by participants in China but less important by the UK participants, and the sub-topic **SR engagement in class** was seen as particularly important by the UK participants.

Chapter 7: Discussion of findings

7.1 Introduction

The aim of this research is to explore the key concepts, main content, and central areas of improvement of CSR in the HE sector. This chapter is therefore organised into sections that correspond with the research questions: (1) *What CSR activities are currently implemented in HEIs?* (RQ1, see Section 7.2); (2) *What aspects of CSR should be covered in the HE sector from the stakeholders' perspective?* (RQ2, see Section 7.3); and (3) *How could CSR performance be improved in the HE sector?* (RQ3, see Section 7.4).

Appendix N provides a summary of links between the findings and the literature. This is categorised into eight types of engagement with the literature, namely providing proof, suggestion, application, opposite opinion and, justification, elaboration, support for argument, or enrichment. For example, the critique presented by Taylor's (2017) regarding the perspective on the university as a business [which is relevant to the discussion of the opportunities, changes and challenges that exist in the HE sector (see Section 2.3.2)], was argued. Suggestion was given Visser's (2010, 2016) work on CSR 2.0, which was addressed in the evolution of CSR in the most recent period (see Section 2.2.8), to integrate CSR as 'new DNA' at the individual level in addition to the organisational level. Mitchell et al.'s (1997) study, which contributed to analysing data for RQ2, was utilised to categorise stakeholders who HEIs are responsible for. Additionally, the concept of 'social power' proposed by Davis (1960), a prominent supporter of the existence of social responsibilities in business during the early stages of CSR (see Section 2.2.3.1), was extended to the HE context. Further details regarding these engagements will be provided in the following sections of this chapter.

The literature review conducted in Chapter 2 also served as a valuable resource for this research, as it highlighted theoretical concepts that guided the selection of a theoretical framework for discussing the findings of the data analysis. For instance, Crane et al.'s (2014) CSR core characteristics – including voluntariness; internalising or managing externalities; multiple stakeholder orientation; aligning social and economic responsibilities; practices and values; and going beyond philanthropy – facilitated the author to understand the thorough concept of CSR in the HE sector. It helped address RQ1, as this work was done by reviewing different academic or practitioner definitions of CSR (Crane et al., 2014, p.9). Garriga and Melé's (2004) work included the explanations of CSR in the integrative aspect and the ethical aspect, which were identified as the limited perspectives in explaining CSR in the HE sector as mentioned in Section 2.4, helped address RQ2. Specifically, Garriga and Melé (2004, p.65) concluded that most current CSR theories focus on four main purposes: "(1) meeting objectives that produce long-term profits; (2) using

business power in a responsible way; (3) integrating social demands; and (4) contributing to a good society by doing what is ethically correct.” By applying this conclusion in the context of HE, where the perspective of the university as a business has been criticised (Taylor, 2017); ‘business power’ could be interpreted as French philosopher Michel Foucault’s ‘disciplinary power’; social demands may reflect HE’s impact on society through constructing a ‘knowledge society’, a ‘just’ and ‘stable’ society, and a ‘critical society’ (Brennan, 2008); and ‘ethically correct’ could be defined as the quality of HE with regard to ethics and moral values (Prisacariu and Shah, 2016). Subsection themes in Sections 7.2 and 7.3 were influenced by these theoretical frameworks – Crane et al.’s (2014) CSR core characteristics and Garriga and Melé’s (2004) study on aspects of main CSR theories focused on, respectively. In responding to RQ3, the methodology employed by THE Impact Rankings, which assesses HEIs against the UN’s SDGs, was referenced to establish the linkage between CSR performance improvement in the HE sector and the SDGs.

7.2 Current status of CSR in HE context (RQ1: *What CSR activities are currently implemented in the HE sector?*)

The data analysis for RQ1 revealed that there are two main themes (and eight sub-themes) of CSR in HE context (see Figure 4-27). The first main theme is that of developing a responsible HE campus. It includes the following sub-themes: responsible provision of education, responsible research undertakings, developing a green campus, being a responsible employer, and providing responsible support for students. The second main theme is that of HE institutions acting as responsible members of society. It encompasses the sub-themes support for community development, civic responsibility, and philanthropic behaviour. The following sections (from Section 7.2.1 to Section 7.2.3) discuss the findings under the (sub-)themes mentioned above by engaging the content of relevant (sub-)codes with literature. The same discussing method is applied in Section 7.3 to discuss the findings of the data analysis for RQ2. A summary of discussion in this section is written in Section 7.2.4.

Overall, the sub-themes developed in the data analysis for RQ1 provide detailed insights to elaborate Giuffré and Ratto’s (2014) definition of USR, which highlights the university was stated to have ability to disseminate and implement a set of general principles and specific values in four processes: teaching, research, management, and extension. The abilities related to teaching and research processes are elaborated in Section 4.2.1 (responsible provision of education) and Section 4.2.2 (responsible research undertakings), respectively. The elaboration of relevant abilities in management process can be found in Section 4.2.4 (being a responsible employer) and Section 4.2.5 (providing responsible support for students). The abilities associated with the extension process are elaborated in Section 4.2.3 (developing a green campus), Section

4.3.1 (support for community development), Section 4.3.2 (civic responsibility) and Section 4.3.3 (philanthropic behaviour).

7.2.1 Proactive CSR activities in education and research

To begin with, in terms of responsible provision of education, the participants identified CSR activities about developing a framework for responsible education by designing the educational activities in their HEIs to incorporate responsibility into their educational activities. This voluntary form of governance for responsible education reflects the Commission of the European Communities (2011) stated that “regulatory measures create an environment more conducive to enterprises voluntarily meeting their social responsibilities” in defining CSR. The potential effects of a voluntary CSR activity such as a framework for responsible education may be supported by the case of PRME (Principle for Responsible Management Education), which is “a voluntary initiative with over 800 signatories worldwide” (PRME, n.d.), as shared by a participant. This framework is expected to enable effective learning experiences for responsible leadership as the method for providing “future leaders with the skills needed to balance economic and sustainability goals, while drawing attention to the Sustainable Development Goals (SDGs) and aligning academic institutions with the work of the UN Global Compact” (PRME, n.d.). However, the effects of the framework initiative may be limited to the level of management (business) schools, as based on PRME’s mission, this accrediting body only engages business and management schools (PRME, n.d.).

In addition to developing a framework for responsible education, the participants identified HEI’s CSR activities of providing responsible education also cover having responsible educators and developing responsible course content, the latter of which is one of the most mentioned HEI’s CSR activities of all (13). It should be noted that most of these mentions were made by the participants from the UK (9). Within responsible course content, the HEI participants from China paid more attention to *SR-related* academic courses (4), while those from the UK focused more on *SR-embedded* academic courses.

Similar to education provision, in research activities HEIs were identified to have responsible researchers (by encouraging research staff to engage in research activities related to sustainable development) and place emphasis on responsible research content (whose topics are related to CSR or engage with SDGs; and which has a target related to the welfare of disadvantaged groups or socially deprived areas). These CSR activities are building CSR into not only their academic activities (teaching and research) but also the people who are implementing these activities (the academic staff). These academic staff include both responsible educators and responsible researchers who have been stated in Section 4.2.1 and Section 4.2.2 respectively.

This seems to be a reflection of Visser's (2010, 2016) stated (in the context of 'CSR 2.0') that CSR can be the 'new DNA' not only for a business itself but also for its employees.

7.2.2 Activities to address the needs of multiple stakeholders

In terms of stakeholders, the results of the data analysis indicated that the HEIs represented in this research are implementing CSR activities aimed at academic staff, students, government, enterprises, the alumni, recipients of outreach services, and research participants. Specifically, these stakeholders have different attributes in the context of CSR activities. In line with Mitchell et al.'s (1997) classification model, these stakeholders can be categorised into four groups: (1) definitive stakeholders (academic staff and students with pressing needs in relation to their HEI); (2) dominant stakeholders (academic staff and students with no pressing need in relation to their HEI; the government; enterprises); (3) dependent stakeholders (disadvantaged groups who face social inequalities; groups affected by other major social concerns at the time); and (4) discretionary stakeholders (research participants; alumni with no power over their HEIs; local residents; educational institutions at lower levels; people organising local events; a wider range of student groups in HE that in addition to their own students; charities). Accordingly, CSR activities implemented by HEIs can be categorised as being aimed at definitive stakeholders, dominant stakeholders, dependent stakeholders, or discretionary stakeholders (see Appendix K).

To elaborate, both academic staff and students are important actors of HEIs' teaching and research activities (academic mission) so that they have the power to negotiate with their HEIs, and are essential to legitimise HEIs as educational institutions and knowledge-based institutions. Therefore, they are **dominant stakeholders** of their HEIs in general. Particularly, some of them have pressing needs. Based on the findings, these pressing needs are related to critical diseases, critical public health concerns (e.g. Covid-19), relatively vulnerable situation (e.g. the time when female academic staff are pregnant), migration issues (failing to complete which relevant students cannot participate in education in person or have a legal stay in local area), affordable living, and urgent need of employment (e.g. at the time when they are senior students). Academic staff and/or students with any of these pressing needs become **definitive stakeholders** of their HEIs; Other **dominant stakeholders** are the governments which are one of the most powerful authorities in a region and governing HEIs in their region, and the enterprises which are served by HEIs and exert utilitarian power to these HEIs. Meanwhile, some stakeholders just have their legitimate interests in HEIs, such as research participants who have interest in HEIs' research activities; alumnus who are interested in having opportunities to get support from their alma mater; local residents whose interests are in HEIs' support to local communities; educational institutions at lower levels which expect to get help in support of their development of education; local event launchers who expect that HEIs can help in the

launch of relevant events; and students in other areas who expect the opportunities to access higher education. They are all **discretionary stakeholders** of HEIs. Some of these stakeholders have pressing needs, such as the sufferings of social inequalities or other big social concerns at time (e.g. Black Live Matter, the pandemic). The discretionary stakeholders having these pressing needs are **dependent stakeholders** of HEIs.

According to Mitchell et al.'s (1997) categorisation, stakeholders can also be classed as dormant, demanding and dangerous stakeholders. However, none of these types of stakeholders are mentioned in the discussion above. By applying this categorisation method (rather than simply considering stakeholders by role), it is identified that even different CSR activities that are labelled with the same (sub-)code can be categorised into responsibility towards different stakeholders. This difference in categorisation can be justified by Mitchell et al.'s (1997) discussion of “dynamism in stakeholder-manager relations”, according to which a stakeholder can move from one type to another depending on the stakeholder's relationship with their manager. For example, as discussed above, students can be definitive stakeholders or dominant stakeholders. It depends on what kind of their needs (whether urgent or not) are responded through HEIs' CSR activities towards them.

7.2.3 Respect for the environment

In Mitchell et al.'s (1997) description of dependent stakeholders in the context of Alaska, they stated that not only citizens but also animals and ecosystems in the region are under the protection of the Alaska state government and the court system. By considering Elkington's (1994) '3Ps', this description implies HEI's CSR activities are not only responsible for people but also responsible for planet. Regarding activities that are responsible for planet, as summarised in Section 4.4, “the HEIs create a green environment, promote environmental protection, use environmentally friendly items, have environmentally friendly constructions and facilities, adopt environmentally friendly working practices and develop environmentally friendly transportation”. These CSR activities are consistent with Ianos et al.'s (2009, p.91) conclusion on developing respect for the environment, which in turn is based on Sonnenfeld's (1972) framework: having a direct attitude to all types of (human) environments, including the behavioural environment, the perceptual environment, the operational environment, and the geographical environment. Among CSR activities carried out by HEIs in the findings, those that contribute to developing respectful behaviour towards the campus environment include promoting environmental protection, using environmentally friendly items, and adopting environmentally friendly working practices in the findings. CSR activities that focus on creating a green environment in the findings help to develop perceptions that foster respect for the environment. In terms of campus operations, CSR activities that develop respect for the environment

include constructing eco-friendly buildings and having environmentally friendly facilities in the findings. Meanwhile, developing environmentally friendly transport options in the findings fosters respect for the environment in both behaviour and operations on campus. Together, these CSR activities in the findings can turn into geographical environment of campus for having respect for environment.

It should be noted that most of these CSR activities were mentioned by the HEI participants from the UK (none of the participants from China mentioned CSR activities relating to promoting the environment, environmentally friendly construction and facilities, or environmentally friendly transport). Therefore, the findings in relation to developing a green campus might suit the context of the UK more. Relevant literature implies that CSR in China is inclined to be regulative. In fact, Kuo et al. (2012) have mentioned 11th Five-Year Plan (of Chinese government launch from 2006 to 2010), evidencing the government's strategies and planning for environmental regulations and carbon reduction, which would be implemented in all sectors (incl. the HE sector) in China. By comparing 11th Five-Year Plan with 13th Five-Year Plan (2016 - 2020) which majorly influenced HEIs' implementation of CSR activities during the time of the author's research fieldwork, the quality of environment is not the only core but share a similar importance with steady economic growth, improvement of living standards, improvement of the cultural level and ethical standards, and well-established systems and structures of China (China.org.cn, 2019). Based on this, it cannot be concluded that the HEIs in China make little effort on CSR activities to develop a green campus. An explanation for few data of China contributing to the sub-theme developing a green campus can be that improving the quality of environment is not the (only) central CSR activities in China's HEIs.

One of the participants from an HEI in China did not link any CSR activities to environmentally friendly construction and facilities; however, she drew on her experiences at work to suggest that wider aspects need to be considered when making decisions on these types of CSR activities:

“Guangzhou is such a hot place. You could not say that turning on an air conditioner is not good behaviour. Teachers can barely work without air conditioners... the university had to turn on air conditioners due to its construction. I used to work in an enclosed building with a central air-conditioning... Could I work without air conditioning?” (see Section 4.2.3)

Turning on the air conditioning might not be helpful for developing a green campus. However, Elkington's (1997) 'triple bottom line' includes social as well as environmental outcomes; therefore, the HEIs cannot ignore the need for social sustainability (in this context, occupational health) in their pursuit of environmental sustainability.

7.2.4 Summary

To summarise the findings of CSR activities currently implemented in the HE sector discussed above, Crane et al.'s (2014) notion of CSR characteristics is chosen as a framework, shown in bold in the following paragraph. Based on the discussion in this section, the HEIs are implementing a range of CSR activities aimed at their definitive stakeholders, dominant stakeholders, dependent stakeholders, and discretionary stakeholders, demonstrating a **multiple stakeholder orientation**. By developing a framework for responsible education, the HEIs are clearly demonstrating the **voluntary** characteristic of CSR. Their CSR activities around developing a green campus foster respect for the (natural) environment and demonstrate a sense of responsibility for **internalising or managing externalities**. An HEI's academic mission is of a similar level of importance to a company's core business purpose. By building CSR into their academic missions, the HEIs and their teaching and research staff reflect the core characteristic **beyond philanthropy** in their academic activities. It should also be noticed that "beyond philanthropy" does not mean "excluding philanthropy from CSR activities"; and, in practice, some of activities identified by participants can be summarised as philanthropic behaviour. Specifically, these include charity procurement, and fundraising and donations. Although these activities were only briefly discussed, it can be assumed that they encompass **practices and values** stemming from philanthropic behaviour pre-dating the Industrial Revolution, which has its religious origin in the Western context, as discussed in the literature review. It should be noted that within the context of philanthropic behaviour, charitable procurement was mentioned only by participants from the Chinese HEIs. Despite the strong influence of Confucianism on CSR practices in China, the literature does not provide evidence of this important philosophy leading to philanthropic behaviour in China. Therefore, in the context of the Chinese HEIs, the point about philanthropic behaviour as practices and values might be up for debate. The only core characteristic that is absent in the results of the data analysis is the **alignment of social and economic responsibilities**. This does not necessarily imply that economic responsibilities in the HE sector are overlooked: it may instead reflect that in the public sector CSR activities are not directly aligned with profitability. Therefore, while accepting that there are economic responsibilities in the HE sector, transferability of core characteristic of social and economic alignment in CSR, as listed by Crane et al. (2014) in general has not been confirmed in HE context. [Table 7-1]

CSR core characteristics (Crane et al., 2014)	Discussion for RQ1: summarised content of literature (in bold); sub-themes (in square bracket); and content of (sub-) codes (neither in bold nor in square bracket)
Voluntary	<ul style="list-style-type: none"> Responsible educational framework [responsible education provision]
Internalising or managing externalities	<p>Having respect for the environment [developing a green campus]</p> <ul style="list-style-type: none"> Contributions through the behavioural environment: promoting environmental protection; using environmentally friendly items; adopting environmentally friendly working practices Contributions through the perceptual environment: creating a green environment Contributions through the operational environment: having environmentally friendly buildings and facilities Contributions through the behavioural and the operational environment: developing environmentally friendly transport
Multiple stakeholder orientation	<p>Taking on responsibilities to definitive stakeholders</p> <ul style="list-style-type: none"> Academic staff with pressing needs in relation to their HEI: pay rises, health support, respect [responsible employer] Students with pressing needs in relation to their HEI: health support, living support, employment opportunities [responsible student supporter] <p>Taking on responsibilities to dominant stakeholders</p> <ul style="list-style-type: none"> Academic staff with no pressing need in relation to their HEI: health support, respect, research support, teaching support, development support, improving evaluation [responsible employer] Students with no pressing need in relation to their HEI: [health support, living support, respect, improving the learning environment, skills development, practical opportunities, career-related preparation assistance, employment opportunities] Government: strategic educational support, improving industry, tech support [civic responsibility] Enterprises: improving business practices [civic responsibility]; supporting alumni [responsible student supporter] <p>Taking on responsibilities to dependent stakeholders</p> <ul style="list-style-type: none"> Disadvantaged groups facing social inequalities: responsible research content [undertaking responsible research]; learning support, health support [supporting community development]; supporting development of education, educator community training, reducing poverty [civic responsibility]; charitable procurement, fundraising and donations [philanthropic behaviour] People affected by other major social concerns at the time: ethical development, health support [civic responsibility]; fundraising and donations [philanthropic behaviour] <p>Taking on responsibilities to discretionary stakeholders</p> <ul style="list-style-type: none"> Research participants: ethical supervision [undertaking responsible research] Alumni with no power over their HEIs: supporting alumni [responsible student supporter] (Local) residents: local education support [civic responsibility] Educational institutions at lower levels: local education support, strategic educational support [civic responsibility] People organising local events: assistance for local events [civic responsibility] Wider range of student groups in HE (in addition to their own students): globalisation of education [civic responsibility] Charities: fundraising and donations [philanthropic behaviour]
Practices and values	<p>Religious origin</p> <ul style="list-style-type: none"> Charitable procurement Fundraising and donations
Beyond philanthropy	<p>New DNA of HEIs and their academic staff [responsible education provision, undertaking responsible research]</p> <ul style="list-style-type: none"> Including responsible course content (SR-related academic course, SR-embedded course, SR-related training course) Having responsible educators Responsible research content Having responsible researchers
Alignment of social and economic responsibilities	Evidence of absence

Table 7-1 CSR activities implemented in the HE sector by Crane et al.'s (2014) core characteristics

7.3 Expectations of CSR content in the HE context (RQ2: *What aspects of CSR should be covered in the HE sector from stakeholders' perspective?*)

On the basis of the data analysis for RQ2, CSR content is perceived to include five themes (with fourteen sub-themes): (1) motivation for being socially responsible (intrinsic motivation, positive extrinsic motivation, and negative extrinsic motivation) – Although the responses under this theme do not seem to provide direct answers to this research question, as stated at the beginning of Section 5.2, “they can justify why certain issues are perceived as CSR in the context of the HE sector”. Based on this, it is worth discussing the findings under this theme; (2) integration of social responsibility into the HEI’s role (student cultivation, research activity, and external activity); (3) responsibility to academic staff (basic rights, career progression, and educational administration); (4) responsibility to students (basic rights, learning and development, and career); and (5) responsibility to external stakeholders (expectations of government, and communication and engagement with the public). These are shown in Figure 5-26. Discussion of findings under the (sub-)themes mentioned above is made in the sections from 7.3.1 to 7.3.6, followed by Section 7.3.7 for summarising these findings.

7.3.1 CSR as a business?

For the HEIs in this research, one motivation supposed for being socially responsible is to build their reputation. The findings related to this motivation partly agree with the two main themes on the strategy and motivations underlying reputation management and CSR identified from Pelozo’s (2005) interviews. Specifically, the findings can reflect the themes delicate promotion of the firms’ CSR activities identified by Pelozo (2005). However, when discussing this form of motivation, one of the participants expressed the view that *[T]his reputation can guarantee (HEIs) themselves to better survive* (see Section 5.2.2.1). This suggests a lack of consensus with another main theme Pelozo (2005) identified – the participant placed more emphasis on managing potential damage from promotional activities than on securing incremental benefits. The meaning of the phrase “securing incremental benefits” is more similar to *better survive*, implying that, according to the findings in the author’s research, emphasis of building reputation is put on “securing incremental benefits”. Despite building a reputation and gaining ‘corporate benefits’ being different motivators, the two are linked. The former is about building an HEI’s reputation as a ‘historic university’ by gaining recognition for its past achievements, which justifies the phenomenon of a close tie between several prestigious academic activities and the historical and cultural backgrounds of their cities as found in Chow and Loo’s (2015, p.124) study. This phenomenon is consistent with expectations of government that HEIs should represent the cultural aspects of their city, as stated in the results of the data analysis.

In terms of gaining ‘corporate benefits’ supposed as motivation for being socially responsible, the data analysis showed that although HEIs are not corporations, this is one of their most common motivations supposed for being socially responsible (mentioned by 13 participants, including 4 from Chinese HEIs and 9 from UK HEIs). These supposed motivations encompass attracting the market, obtaining more government funding, and obtaining investment from the private sector. However, these findings have similarities with “the perspective on the university as a business” which has been criticised by Taylor (2017). Specifically, the findings about “attracting the market” reflect a view in neoliberalism that “all social interactions are contextualised as part of a market” (Brown, 2015; Friedman, 1962; Harvey, 2005), which was rejected in Taylor’s (2017, p.115) work. The findings about “obtaining more government funding” and “obtaining investment from the private sector” can be justified by the fact that some of the participants stated that HEIs receive limited resources from the government. This justification mirrors the behaviour of American universities, which, following a reduction in public subsidies, that have looked to alternative sources to make up the shortfall in funding (Rhoades and Slaughter, 1997; Thelin, 2011). Taylor (2017, p.115) expressed the concern that this altered funding environment has resulted in businesses having more influence in HE, leading HEIs to change their management structure and practices in a process of “corporatisation, the corporate university, and top-down management”. Taylor’s concern appears to be justified to some extent; however, as discussed in Section 7.2, the HE sector does not deny that it has economic responsibilities. There is a general consensus that economic responsibilities are “the foundation upon which all others rest”, as illustrated in Carroll’s (1991) CSR pyramid. Given that the resources provided by the government are limited, HEIs have good reason to attempt to obtain more government funding and investment from the private sector in order to sustain themselves. Therefore, the perspectives on the university as a business cannot be criticised without exception; rather, this critique should exclude perspectives on the university as a business for the purpose of sustaining itself.

7.3.2 Good governance

In terms of the top-down management structure mentioned above, the participants’ perspective on how HEIs can improve their administration – including procedures relating to academic staff – reflects a desire to avoid this type of management structure, which has received some criticism. The results of the data analysis suggested that improving administrative procedures relating to academic staff would mean strengthening their academic freedom. A similar approach suggested in American universities, i.e. adapting rigid management processes to take a more collaborative approach, partly in response to the academic community’s concerns about academic freedom in the late 19th century (Thelin, 2011; cited in Taylor, 2017, p.116). On the other hand, improving communication with academic staff is related to Taylor’s (2017)

statement that shared governance in university administration would curb top-down management (p.117). The concept of improving administrative procedures to give staff more academic freedom is reflected in Brennan's (2008, p.389) debate about the contribution of HE to constructing a 'critical society'. This is linked to the notion of the academic role as "taking truth to power", which stresses the importance of "autonomy" as a function of the academy (Brennan, 2008). Some of the findings of the present research can engage with the other two perspectives in Brennan's (2008) debate; i.e., constructing a 'knowledge society' and constructing a 'just and stable' society.

7.3.3 Public responsibility

The participants mentioned that because HEIs are legal entities that receive government funding, their motivation for being socially responsible stems from the fact that they are accountable to the government and the public. This illustrates the 'publicness' of HE, where importance is attached to governmental responsibility, oversight and financing, and the legal status of the organisational providers and their staff (Brennan, 2008, p.383). Therefore, it can be concluded that accountability and liability motivate HEIs to reflect their sense of public responsibility by fulfilling social responsibilities. This conclusion, to some extent, has a consensus with Preston and Post's (1975, 1981) proposal of "the principle of public responsibility," wherein the term *public* rather than *social* is used to define the scope of corporate responsibilities. In addition, some of the participants stated that as part of their responsibilities, HEIs should communicate and engage with the public. This describes the 'public process', the importance of which was emphasised in Preston and Post's claim.

With regard to scope, the results of the data analysis suggested that this can be translated as 'expectations of government', with the expectation that HEIs contribute to socioeconomic development being mentioned by the largest number of participants (4). Although this is a small number of participants when compared with the total (54), it is the only government's expectation that was mentioned by participants from HEIs in the UK. In addition to the consideration of socioeconomic development as a result of meeting government's expectation, contributing to socioeconomic development is also seen as a way for HEIs to integrate SR into their external activities according to the author's research findings. Both of the findings mentioned above stand with the side of the 'public good' in the argument about "who benefits" from higher education" (versus "who should pay" for higher education") in the 'knowledge society' described by Brennan (2008, p.383). Specifically, these findings convergently stated that HEIs are expected to contribute to socioeconomic development by collaborating with industry sectors, cultivating competitiveness in students, and transforming research findings into contributions to society. These activities meet expectations of government by addressing major issues in the HEI's city and promoting the growth of

industry and corporations. These findings elaborate on the “creation of a more productive workforce and a successful national economy” (Brennan, 2008, p.383) as contribution of HE to the ‘knowledge society’.

The participants suggested that society is also served by the non-profit purposes of the HEIs, such as taking a moral role and leadership role. This suggestion enriches Brennan’s (2008, p.384) statement that there is a tacit expectation that HEIs serve both the knowledge system and the public good. Specifically, HEIs are expected to take a moral role and a leadership role in developing their knowledge system, on the basis of which they produce a public good to serve society. The results of the data analysis suggested that this tacit expectation is justified by an intrinsic motivation for being socially responsible: the public nature of the HEI, which is related to the responsibility of providing value for society. Most of the participants made contributions that touched upon this. They considered that HEIs cultivate students and conduct research to deliver knowledge as the provision of a public good, thereby contributing to sustainable social and human development. This is consistent with the recognition among educators, social scientists and thinkers that HE simultaneously benefits individuals and wider society (Tilak, 2008, p.450). This recognition also has a consensus with the objective of creating public value – a social objective set by HEIs for their external activities according to the findings. According to the data analysis, this involves improving public welfare at the individual and community levels. The findings on ‘making an impact’ (as a motivation for being socially responsible) indicated that the impact made by an HEI is categorised into community, societal, and international levels. To some extent, ‘improving public welfare at the individual and community levels’ in the findings is an explanation of that HE simultaneously benefits individuals and wider society (Tilak, 2008). This alternative categorisation avoids a problem identified by Brennan (2008, p.387) in defining the social spaces impacted on – whether a social space is “local, national, regional, global”. Furthermore, this alternative categorisation gives suggestion to Brennan’s (2008) study that impacts of HE can be defined as follows: impact on particular groups in society (community impact); impact on a particular society in general (e.g. a city) (social impact); and impact in a global context (international impact).

Returning to the supposed motivation of contributing to the public good in the findings, ‘human development’ is the development of human capital, the process of which is focused on the knowledge function in HEIs. Based on the results of the data analysis, human capital is presented as quality graduates who are expected to be capable of creating social value, improving people’s lives, and contributing to the development of their country in the future. However, this view does not directly respond to the argument relating to one aspect of the ‘knowledge society’ – the centrality of human capital to a functioning society, and the perceived importance of HE in its production (Brennan, 2008, p.388). When compared with the stance on “the use made by employers of educational credentials as a selection device”, the view tends to

support the point about the “function of the relevance of the knowledge and skills transmitted by higher education”.

In addition to producing quality graduates, HEIs are expected to assist students with planning and preparing for their future careers. This responsibility also relates to developing human capital, as it contributes to the initial ‘formation’ of the graduate workforce; this was identified by Brennan (2008, p.388) as being given a strong emphasis within human capital approaches. The data analysis indicated that after an HEI has moulded its graduates into people who will provide labour for society, these alumni would expect their alma mater to be responsible for facilitating their social connections in geographical areas through HEI’s engagement with alumni. This perceived responsibility implies that social connections are what alumni needs from engagement with the HEI, being in agreement with the suggestion of using online social networks to connect alumni and expand their network (identified in a study by Coughlan et al. (2012, cited in Rattanamethawong et al., 2015, p.649) is an effective way of contributing to alumni engagement and, in turn, to employability (Coughlan et al., 2012). If we consider that employability is a form of human capital, it can be suggested that engaging with alumni is a continuous process of developing human capital. Furthermore, for the participants, a benefit of making social connections in geographical areas is that it offers alumni a spiritual home in those areas. In this context, a spiritual home is expected to be a ‘place’ where an alumni feels a sense of belonging. This feeling is consistent with human awareness of values, faith, and perception (Quappe and Cantatore, n.d.). Therefore, the data suggests that HEIs can apply Rattanamethawong et al.’s (2015) purposed innovative alumni relationship management framework to raise the alumni’s human awareness of values, faith, and perception in relation to their alma mater and engage the alumni. Meanwhile, sustainable social development is mostly about HEIs’ knowledge being outside themselves. The contribution of HEIs’ knowledge to this development is supposed to be mainly related to providing more educational opportunities, which, according to the data analysis, the government expects them to do. This expectation is consistent with Brennan’s (2008, p.389) statement that extending participation is one of the ways in which the HE sector is constructing a “just and stable” society.

7.3.4 Human rights

In addition, developing education (stated in the findings) upholds elements of the right to education, which is included in the Universal Declaration of Human Rights (UNHRO, n.d.). Similarly, many of the findings of the data analysis for RQ2, especially those on HEIs’ responsibilities to academic staff and to students expected are related to rights included in the Declaration. These findings include:

- basic responsibilities to staff: labour rights, decent payment, an assured income, respect, inclusion, occupational health and safety, and work-life balance;

- responsibilities related to career progression: staff development, career advancement, and evaluation;
- basic responsibilities to students: campus culture, health and safety on campus, and extracurricular life; and
- responsibilities related to learning and development, such as the responsibility to provide a learning experience and practical opportunities.

These findings are associated with the human rights to *freedom from discrimination* (Article 2), *life* (Article 3), *justice* (Article 8), *privacy* (Article 12), *freedom of expression* (Article 19), *work* (Article 23), *leisure and rest* (Article 24), *an adequate standard of living* (Article 25), *education* (Article 26), and *participation in cultural, artistic and scientific life* (Article 27) (see Appendix L).

Human rights are universal rights (Donnelly, 1985), supported by several moral philosophical theories. In HE context, these rights are supposed to be developed by considering the cultural and spiritual legacy of HEIs. The results of the data analysis showed that HEIs are expected to be intrinsically motivated to be socially responsible; this leads HEIs to adopt values that underpin their aspiration to be a ‘person’ with outstanding morals, demonstrating social morality and meeting society’s expectations. This can be an elaboration of the conclusion that HEIs are “places of high ethical and moral standards” (Prisacariu and Shah, 2016, p.161). This motivation is also a reflection of Murphy’s (2005) argument that there is a relationship between corporate culture and ethics in the HE sector, whereby “corporate culture is explicitly linked with ethics, in the sense that cohesive and strong cultures tend to reinforce ethical behaviour” (p.233). In the HE context, corporate culture is related to educational philosophies. This is reflected in the widespread response from participants in Chinese HEIs (7 out of 11 respondents who talked about the ‘public nature’ of HEIs) – *teaching and educating people* (see Section 5.2.1). This is derived from an element of Confucian educational philosophy: “有教無類” which can be translated as “providing education for all people without discrimination”. Also of relevance here is the statement made by an HEI executive in China that *a higher education institution is the paradise of knowledge, and it disseminates knowledge to a large number of people, even though this dissemination cannot bring any benefit to higher education institution itself* (see Section 5.2.1). These findings not only reflect Crane et al.’s (2014, p.20) statement that Confucianism has been argued to keep with substantial elements of CSR in its cultural legacy in China, but also challenged Wang and Juslin’s (2009) classification of traditional CSR (which is strongly affected by Confucian values) into the period up to 1949. The effect of Confucianism on CSR can be evidenced as strong (at least) in the HE sector. In addition, the relevant participants mentioned *teaching and educating people* to justify the motivation for providing a public good (i.e. the public nature of HEIs). Therefore, it can be assumed that in the Chinese context, educational philosophies are at the core of HEIs’ intrinsic motivation to be socially responsible.

7.3.5 Ethical standards

Some participants considered that achieving accreditation is something that could motivate HEIs to be socially responsible. Specifically, the accreditations EQUIS, AACSB, AMBA, Athena SWAN and PRME have different requirements and reporting standards relating to social responsibility. Of these accreditations, AACSB was the most widely mentioned by the participants, and among the UK participants. Meanwhile, participants from Chinese HEIs mentioned EQUIS the most. It is surprising that none of the UK participants talked about EQUIS, AMBA or even PRME, because all the UK HEIs included in the fieldwork have achieved triple accreditation and PRME. None of the participants from the HEIs in China mentioned Athena SWAN, as this is not used in China. The criteria for the accreditations mentioned confirm that the quality of research and teaching, institutional governance and support functions are core areas, wherein the accrediting bodies define the quality of HE in relation to ethical and moral values (Prisacariu and Shah, 2016, p160). This quality is, for example, specified to *have a clear understanding of its role as a “globally responsible organisation” and its contribution to ethics and sustainability* in EQUIS (EFMD Global, n.d.); reflected in AACSB (AACSB, n.d.)’s criteria of *ethics and integrity, societal impact, diversity and inclusion; related to a positive contribution to the sustainable development of participants, organisations, its immediate ecosystem and wider society* stated in AMBA (AMBA, n.d.); and focused on the aspects of purpose, values, method, research, partnership, dialogue in PRME (PRME, n.d.). It is also about the protection of gender equality concerned in Athena SWAN (Advanced HE, n.d.). Therefore, HEIs that achieve these accreditations can be defined as “places of high ethical and moral standards” (Prisacariu and Shah, 2016, p.161) as mentioned above.

7.3.6 Social power

The data analysis also showed that HEIs are supposed to be motivated to be socially responsible by the need to meet standards that are broader than the ethical and moral considerations. Some widely accepted organisational standards, such as ISO and ESG, are supposed to legitimise HEIs as important social institutions. This supplements Davis’s (1960) exploration on using power responsibly as a social institution; that is, in the HE context the responsible use of power is aligned with ISO and ESG standards. This power can be elaborated on by the relevant findings from the data analysis: on the subject of integrating social responsibility into the HEI’s role, cultivating students seems to be the most discussed topic (within which the emphasis was on turning students into ethical and responsible people – this was discussed by 10 participants, 7 of them from HEIs in China). To be specific, students are expected to become ethical and responsible people, competitive individuals, and global citizens through their experiences in HE. This can

be considered an interpretation of French philosopher Michel Foucault's eighteenth-century work on 'disciplinary power', which was exercised by state educational institutions to "shape the young into adaptable, happy subjects" (Ellis, 2020, p.49); i.e. shaping students to have moral adaptability, adaptability in the workplace, and adaptability in a global context, although the idea of 'happy subjects' is not included in this kind of student cultivation.

A few of the participants thought that HEIs can distinguish themselves by developing world-class expertise that makes transformational change possible (i.e. being socially responsible as a result of their specialisms). These findings justify the concept of 'expert power' within French and Raven's (1959) model at the organisational level – HEIs that have special, distinct knowledge or expertise are perceived as superior (i.e. world-class experts). The data analysis suggested that the development of an HEI's knowledge and expertise is supposed to be related to research aims that allow them to transform their research achievements into benefits for society, communities and the world; it is also connected to the impact of their research outside academia, such as achieving net zero within an industry and influencing corporate objectives beyond maximising profit. This kind of research results in the role of the HEI as "an agent in the transmission of social change sponsored by others" emphasised in constructing 'knowledge society'" (Brennan, 2008, p.387).

In addition to considering the research aims and impact, being socially responsible in research activities is supposed to require HEIs to consider ethics in relation to social use, genuine benefits, and potential harm to people. In terms of teaching quality as an expected aspect of social responsibility, this is reflected by interactions in class, teaching content, and teaching staff. The findings in relation to research ethics and teaching quality suggest the items taken into account for Prisacariu and Shah's (2016, p.161) argument of defining the quality of HE around ethics and moral values through academics' responsibility for fostering and promoting student learning by undertaking research and teaching with high ethical standards.

7.3.7 Summary

Overall, the findings on the aspects of CSR in the HE sector should cover have been discussed above. These aspects can be summarised by referring to Garriga and Melé's (2004) study on aspects of main CSR theories focused on. These aspects are shown in bold in the text that follows.

It is generally expected that HEIs (softly) promote their CSR activities to build their reputation. In addition, from the perspective of the university as a business that has economic responsibilities, HEIs are supposed to be motivated for being socially responsible in order to gain 'corporate benefits'. In this respect,

participants' perceptions of what CSR involves reflect a focus on "meeting objectives that produce long-term profits" (Garriga and Melé, 2004, p.65) – **instrumental theories**. In terms of the perspectives on the university as a business criticised by Taylor (2017), HEIs should avoid top-down management (which can result from this perspective) and instead take a collaborative approach and share governance; in other words, managing the institution in a responsible way. This management is expected to meet widely accepted organisational standards, such as ISO and ESG according to the findings.

In practice, HEIs are expected to exercise their disciplinary power and their expert power responsibly. In particular, an HEI's expert power is supposed to enable it to distinguish itself from other institutions. The perceptions of this aspect of CSR in HE context are consistent with the focus on "using business power in a responsible way" (Garriga and Melé, 2004, p.65) in the business context – **political theories**. Different from (ordinary) businesses, HEIs are expected to have a 'publicness', which requires them to be accountable and responsible in society; therefore, they should emphasise public process in defining their scope of responsibility. Due to their public nature supposed, they are tacitly expected to serve the knowledge system and the public good, simultaneously benefiting individuals and wider society. From a macro viewpoint, HEIs are expected to construct a 'knowledge society', a 'just and stable' society, and a 'critical society' at the community, societal, international levels. Despite differences in attributes, perceptions relating to this aspect of CSR in the HE sector also reflect a focus on "integrating social demands" (Garriga and Melé, 2004, p.65) – **integrative theories**. Lastly, HEIs are expected to be places of high ethical and moral standards, which are based on their cultural and spiritual legacy supposed. These standards are aligned with relevant accreditations (such as EQUIS, AACSB, AMBA, Athena SWAN and PRME), assessments of research and teaching quality, and institutional governance and support functions. In this regard, when undertaking research and teaching, academics are expected to have a responsibility uphold high ethical standards that foster and promote student learning. Additionally, the cultural and spiritual legacy of an HEI is supposed to contribute to improving human rights. With reference to the Universal Declaration of Human Rights, the rights that HEIs are perceived to protect include freedom from discrimination, the right to life, the right to justice, the right to privacy, freedom of expression, the right to work, the right to leisure and rest, the right to an adequate standard of living, the right to education, and the right to take part in cultural, artistic and scientific life. Perceptions relating to this aspect of CSR in the HE sector can be justified by the focus on "contributing to a good society by doing what is ethically correct" (Garriga and Melé, 2004, p.65) – **ethical theories**.

Among these main aspects of CSR, it can be assumed that the most relevant in the HE sector is ethics, followed by integration. On the basis of the summary above, ethical theories of CSR can be applied to the relevant perceptions without any conditions attached. Despite the fact that they might not consider

‘publicness’, integrative theories of CSR in business share a similar focus to that of the relevant perceptions. Therefore, integrative theories on CSR might meet a change in relevant perceptions (to some degree) if a business has a public nature. As for the focuses of the instrumental theories and political theories of CSR, both types are concerned with business (i.e. ‘profit’ – instrumental theories and ‘business power’ – political theories). Considering that HE is a non-profit sector, some aspects of these theories may be less relevant – especially the ‘instrumental’ aspect, which focuses on profit. [Table 7-2]

CSR theories of focus (Garriga and Melé, 2004)	Discussion for RQ2: summarised content of literature (in bold); sub-themes (in square bracket); and (sub-) codes (neither in bold nor in square bracket)
Instrumental	<p>Delicate promotion of HEIs' CSR activities</p> <ul style="list-style-type: none"> To build reputation [positive extrinsic motivation] To develop a regional brand [responsibility for meeting expectations of government] <p>University as an economically responsible 'business'</p> <ul style="list-style-type: none"> To gain 'corporate benefits' from appealing to the market, obtaining more government funding, and obtaining investment from the private sector [positive extrinsic motivation]
Political	<p>Avoidance of top-down management – collaborative approach, shared governance</p> <ul style="list-style-type: none"> To improve administrative procedures for academic staff, improving communication with academic staff [responsibility for educational administration related to academic staff] <p>Responsible use of power</p> <ul style="list-style-type: none"> To meet widely accepted organisational standards, e.g. ISO, ESG [positive extrinsic motivation] <p>Disciplinary power</p> <ul style="list-style-type: none"> To cultivate students to become ethical and responsible people, competitive individuals, global citizens [integrating SR into the cultivation of students] <p>Expert power</p> <ul style="list-style-type: none"> To develop a distinction [positive extrinsic motivation] To have research aims and objectives, and make research impact in relation to SR [integrating SR into research activities]
Integrative	<p>Social spaces impacted on</p> <ul style="list-style-type: none"> To be socially responsible for making an impact at the community, societal and international levels [positive extrinsic motivation] <p>'Publicness'</p> <ul style="list-style-type: none"> To be accountable [negative extrinsic motivation] To be liable [negative extrinsic motivation] <p>Emphasis on public process in defining the scope of responsibility</p> <ul style="list-style-type: none"> To communicate and engage with the public [responsibility to external stakeholders] <p>Tacit expectation that HEIs serve the knowledge system and the public good</p> <ul style="list-style-type: none"> To take non-profit purposes into account in external activities [integrating social responsibility into external activities] <p>Benefits to individuals and wider society simultaneously</p> <ul style="list-style-type: none"> To present public nature [intrinsic motivation] To create public value [integrating SR into external activities] <p>Construction of a 'knowledge society'</p> <ul style="list-style-type: none"> Development of human capital: quality graduates, career planning and preparation, engagement with the alumni [responsibility for students' careers] Creation of a more productive workforce and a successful national economy: socioeconomic development [integrating SR into external activities, responsibility for meeting expectations of government] An agent in the transmission of social change sponsored by others: research aim and objectives, research impact [integrating SR into research activities] <p>Construction of a 'just' and 'stable' society</p> <ul style="list-style-type: none"> Extending participation: to engage in development of education [responsibility for meeting expectations of government] <p>Construction of a 'critical society'</p> <ul style="list-style-type: none"> To improve administrative procedures for academic staff [responsibility for educational administration related to academic staff] To protect academic freedom [responsibility for protecting the basic rights of academic staff]
Ethical	<p>Places of high ethical and moral standards</p> <ul style="list-style-type: none"> To be based on the legacy of cultural and spiritual history [intrinsic motivation] <p>Provision of assurance of research and teaching quality, and alignment of institutional governance and support functions with the relevant accreditations</p> <ul style="list-style-type: none"> To achieve the accreditations of EQUIS, AACSB, AMBA, Athena SWAN, PRME [positive extrinsic motivation] <p>Academics' responsibility for undertaking research and teaching to high ethical standards that foster and promote student learning</p>

	<ul style="list-style-type: none"> • To consider ethical concerns in research activities [integrating SR into research activities] • To guarantee teaching quality [responsibility for students' learning and development] <p>Relevance of the Universal Declaration of Human Rights: to protect freedom from discrimination, the right to life, the right to justice, the right to privacy, freedom of expression, the right to work, the right to leisure and rest, the right to an adequate standard of living, the right to education, and the right to take part in cultural, artistic and scientific life</p> <ul style="list-style-type: none"> • Labour rights, decent payment, income assurance, respect, inclusion, occupational health and safety, work–life balance [responsibility for protecting the basic rights of academic staff] • Staff development, career advancement, evaluation [responsibility for the career progression of academic staff] • Campus culture, health and safety on campus, extracurricular life [responsibility for protecting students' basic rights] • Learning experience, practical opportunities [responsibility for students' learning and development] • Development of education [responsibility for meeting expectations of government]
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Table 7-2 Aspects of CSR in the HE sector as perceived by stakeholders, grouped by Garriga and Melé's (2004) main CSR theories

On the basis of the summary above, the following model categorises the proposed content of different aspects of CSR in the HE sector (Figure 7-1).

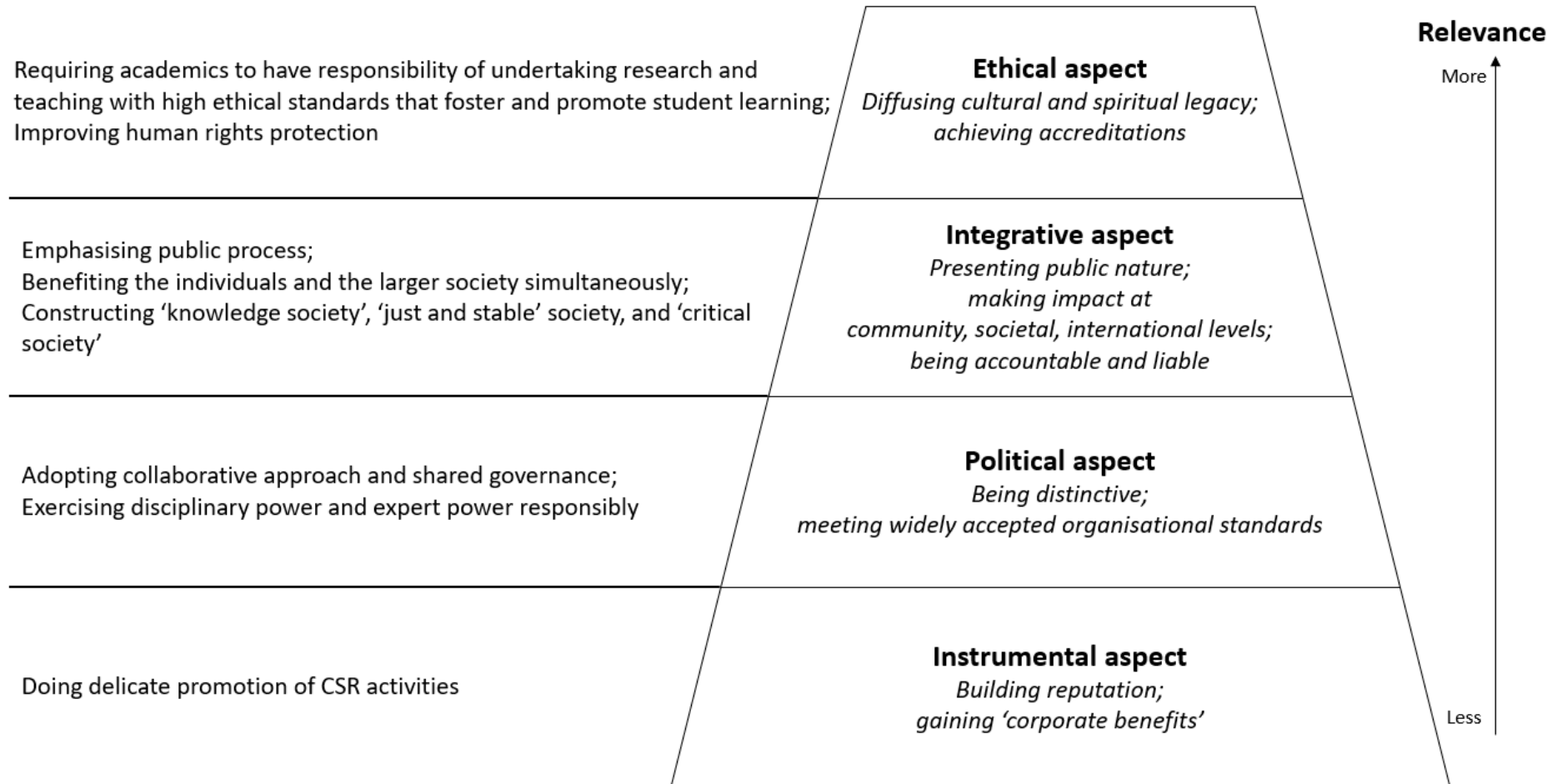


Figure 7-1 Model categorising aspects of CSR content in the HE sector

7.4 Improvement of CSR performance in HE context (RQ3: *How could CSR performance be improved in the HE sector?*)

Regarding the data analysis for RQ3, the findings suggested four themes of improvement, with eight sub-themes (see Figure 6-18). These are: (1) environmental impact (climate action and resource efficiency); (2) stakeholder management (welfare on campus and external engagement); (3) functional roles (quality of education, and research impact); and (4) socially responsible leadership (high-level activities and functional-level activities). The following section maps the content of (sub-)codes in the findings under the (sub-)themes mentioned above onto related SDGs to discuss improvement of CSR performance in the HE sector in the form of sustainability. These SDGs are linked with relevant CSR characteristics in the HE sector discussed in Section 7.2.4 and relevant aspects of CSR in the HE sector discussed in Section 7.3.7 respectively. The results of all these linking activities are connected by the following three inquiries: a. what CSR activities are currently implemented in the HE sector, b. what can be done to improve relevant CSR performance in the HE sector, and c. what aspects of CSR in the HE sector can be developed by improving CSR performance. (see Section 7.4.2).

7.4.1 CSR in the HE sector and SDGs

As summarised in Section 2.4, Regarding ‘sustainable benefits’ gained from CSR SDGs were proposed for planning CSR (Fallah Shayan et al., 2022). These ‘sustainable benefits’ can be translated into the improvement of CSR performance in the HE sector in this research. Therefore, SDGs can be mapped onto the findings of the data analysis for RQ3 to discuss the suggested improvement of CSR performance in the HE sector.

These findings reflect the methodology used in THE Impact Rankings, which “are global performance tables that assess universities against the United Nations’ Sustainable Development Goals” (THE, 2022) (see Appendix M). It reflects a close relation of CSR to SDGs and its relevance in Fallah Shayan et al.’s (2022, p.10) review of literature: It is not only a key process for achieving sustainability but also driven itself to contribute to sustainable development and SDGs (AN and YOON, 2021; Mishra, 2021; Silva et al., 2021). Some of the findings (in bold) related to improving **socially responsible leadership**, including socially responsible engagement in education – improving dedicated courses (full degrees or elective modules) that address sustainability and the SDGs, and socially responsible leadership in research (considering the number of publications that relate to the 17 SDGs). Improvement in this regard is related to SDG 17 (partnerships for the goals).

The findings on improving **stakeholder management**, the aspect of mental health – improving access to mental health support for students and staff – is related to SDG 3 (good health and well-being). In the context of improving DEI in education, improving the tracking of completion rates for female students is related to SDG 5 (gender equality), while tracking admission rates for under-represented groups is connected to SDG 10 (reduced inequalities). Related to DEI in the workforce, providing more accessible childcare facilities for staff is linked to SDG 5 (gender equality), tracing gender equity in the pay-scale is connected to SDG8 (decent work and economic growth), and planning action to recruit staff from under-represented groups is linked to SDG 10 (reduced inequalities).

The findings on improving **functional roles**, the aspect of research impact – measuring patents citing university research – is linked to SDG 9 (industry, innovation and infrastructure). Meanwhile, The findings on improvements relating to an HEI's **environmental impact** are linked to several SDGs. Improving climate targets (committing to carbon neutrality) is related to SDG 13 (climate action), while improving climate solutions (promoting sustainable commuting and encouraging people to work from home) has links to SDG 11 (sustainable cities and communities). Improvements around energy use (better processes for carbon management and reducing carbon dioxide emissions) are related to SDG 7 (affordable and clean energy); and better waste management (achieved by measuring the amount of waste generated and recycled) is connected to SDG 12 (responsible consumption and production).

It is notable that very few of the suggestions related to improving functional roles in the findings contribute to the engagement with the SDGs above. Besides, many of the findings presented above are not balanced in a country context: only one participant from a Chinese HEI suggested improving the HEI's environmental impact, and relatively few participants in China (4) suggested improving socially responsible engagement in education when compared with the number of UK participants (11). Meanwhile, the suggestions about improving the mental health of students and staff and improving the impact of research were made by participants from Chinese HEIs only. Therefore, even though the findings are roughly in agreement with relevant concerns in the Impact Rankings' methodology, the degree of how this suggested improvement will be adapted in HEIs in China or in the UK is not known.

In terms of improving environmental impact, one participant's concern about the dilemma between her HEI's *ambitious targets to be carbon neutral* and its view of the business school as a *cash cow* due to the large number of international students (see Section 6.2.1) has similarities with in Elkington's (1997) 'triple bottom line': companies should place as much focus on environmental issues as they do on financial issues. As discussed in Section 7.3.1, if the purpose of HEIs treating themselves as a business is for their survival,

taking this view can be considered reasonable (economically responsible) to some extent. However, the phrase *cash cow* implies a purpose of profit, and the author agrees with Taylor’s (2017) criticisms on taking this kind of perspective on the university as a business. Nonetheless, the (negative) environmental impact caused by international students can be reduced by promoting sustainable commuting and encouraging more telecommuting, as discussed above.

By linking with the discussion in Section 7.2, it is possible to conceptualise these suggested improvements as aspects of the following CSR activities: beyond philanthropy, multiple stakeholder orientation, and managing externalities (see Table 7-3).

CSR activity implemented in the HE sector	Suggested improvements in CSR performance in the HE sector from findings and related SDGs (in round bracket)
Beyond philanthropy	<ul style="list-style-type: none"> • SR leadership (contributing to SDG 17)
Multiple stakeholder orientation	<ul style="list-style-type: none"> • Mental health (contributing to SDG 3) • DEI in education (contributing to SDGs 5 and 10) • DEI in the workforce (contributing to SDGs 8 and 10) • Research impact (contributing to SDG 9)
Managing externalities	<ul style="list-style-type: none"> • Climate targets (contributing to SDG 13) • Climate solutions (contributing to SDG 11) • Energy use (improving SDG 7) • Waste management (contributing to SDG 12)

Table 7-3 (Sub-)themes of suggested improvements in CSR performance by CSR activity implemented in the HE sector

Based on the discussion in Section 7.3, we can categorise the (sub-)themes of suggested improvements in CSR performance in the HE sector into ethical, integrative, and political aspects (see Table 7-4). In other words, these suggested improvements can, in turn, improve the HE sector’s performance in the ethical, integrative, and political aspects of CSR.

Aspect of CSR	Suggested improvements in CSR performance in the HE sector from findings and related SDGs (in round bracket)
Ethical	<ul style="list-style-type: none"> • Mental health (contributing to SDG 3) • DEI in education (contributing to 5 and 10) • DEI in the workforce (contributing to SDGs 8 and 10)
Integrative	<ul style="list-style-type: none"> • Climate targets (contributing to SDG 13) • Climate solutions (contributing to SDG 11) • Energy use (contributing to SDG 7) • Waste management (contributing to SDG 12)
Political	<ul style="list-style-type: none"> • Research impact (contributing to SDG 9) • SR leadership (contributing to SDG 17)

Table 7-4 (Sub-)themes of suggested improvements in CSR performance by aspect of CSR in the HE sector

7.4.2 Summary

The discussion in Section 7.4.1 suggested that HEIs can improve their CSR performance in the areas of ‘beyond philanthropy’, ‘multiple stakeholder orientation’ and ‘managing externalities’ by considering aspects that are in relation to mental health, DEI in both education and the workforce, climate targets and solutions, energy use, waste management, research impact, and SR leadership. Altogether these improvements will contribute to SDGs 3 (good health and well-being), 5 (gender equality), 7 (affordable and clean energy), 8 (decent work and economic growth), 9 (industry, innovation and infrastructure), 10 (reduced inequalities), 11 (sustainable cities and communities), 12 (responsible consumption and production), 13 (climate action) and 17 (partnerships for the goals). This will enable them to be more socially responsible in terms of their ethical, integrative, and political activities. The process of improving CSR performance in the HE sector is shown in detail in Figure 7-2.

Specifically, this map contains four levels (from bottom to top): the first level shows, based on the SDGs mapped, what kind of CSR activities currently implemented in the HE sector are linked; followed by a level to present the SDGs discussed in this section, with relevant content from the findings on the suggested improvement of CSR performance in the HE sector; the third level demonstrates what aspects of CSR should be cover in the HE sector from the perspectives of stakeholders are connected; the top level illustrates the intention of this map is to lead HEIs to be more socially responsible as their success.

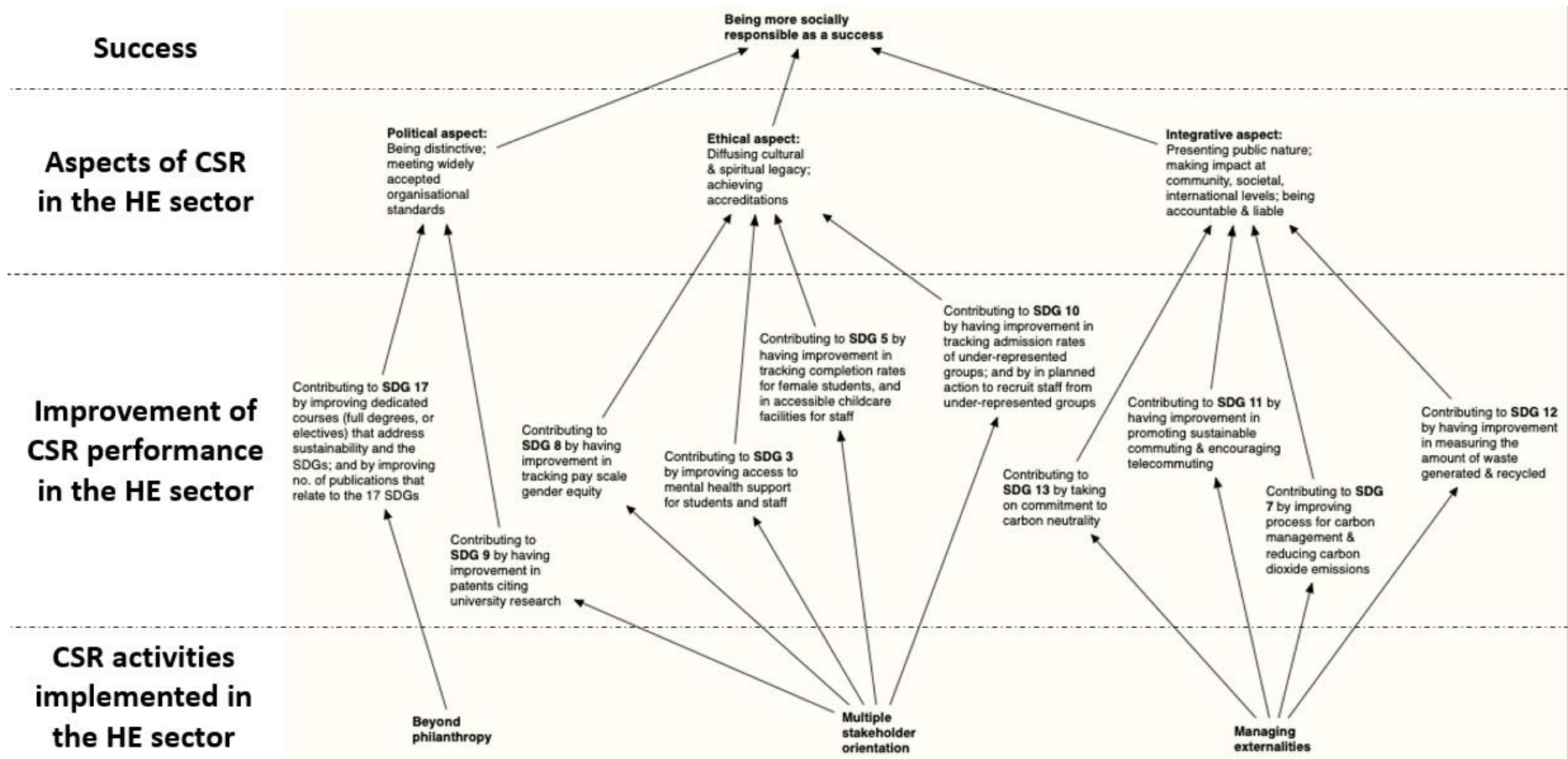


Figure 7-2 Success map: improving CSR performance in the HE sector

Chapter 8: Conclusion

8.1 Introduction

Following a review of the literature, the following overarching research questions were developed:

- (1) *What CSR activities are currently implemented in HEIs?*
- (2) *What aspects of CSR should be covered in the HE sector from stakeholders' perspective?*
- (3) *How could CSR performance be improved in the HE sector?*

The author adopted interview methods to collect relevant data from 54 participants from HEIs in China and the UK, who included HEI policymakers and executives, academics, and student representatives. The findings of the data analysis provided an understanding of the concept, content, and potential improvements of CSR in the HE sector. Through engaging with the relevant literature to discuss these findings (a summary of this engagement can be seen in Appendix N), this thesis has made contributions to the research on CSR in the HE sector. In this final chapter, conclusions are drawn on the theoretical contributions (Section 8.2) and practical implications (Section 8.3) of this research. This is followed by the author's reflections on the limitations of this research (Section 8.4) and suggestions for further research (Section 8.5). All conclusions made in this chapter are summarised in Section 8.6. Lastly, the author reflects his PhD journey and concludes some points, intending to share with other PhD researchers as the readers of this thesis (Section 8.7).

8.2 Theoretical contributions

The main theoretical contribution of this research work is in providing details about what is included and involved in the concept, content and improvement of CSR in HE. By analysing research data under the three research questions, the outlines of key concepts, main content, and central areas of improvement of CSR in the HE sector and their link were visualised by three mega maps (Figure 4-27, Figure 5-26, and Figure 6-18). This provides a detailed insight into the concept, content and improvement of CSR in the HE, that has not been covered in the literature so far. [Table 8-1]

Main theoretical contribution	Specification
Key concepts of CSR in HE	A unified definition of CSR in HE: The CSR activities currently implemented in the HE sector are twofold: One is about developing a responsible HE campus by providing responsible education, undertaking responsible research, developing a green campus, and acting as a responsible employer and responsible student supporter; the other is about acting as responsible members of society by supporting community development, taking on civic responsibility, and demonstrating philanthropic behaviour. [More details to illustrate the links between these elements can be found in Figure 4-27.]
Main content of CSR in HE	From stakeholders' perspective, HEIs should have their motivations for being socially responsible, leading them to integrate SR into their roles; to take on their responsibility to academic staff, students, and external stakeholders. [More details to illustrate the links between these elements can be found in Figure 5-26.] By comparing the findings of the data analysis for RQ1, a lack of consideration in implementing CSR activities were presented in the responsibility to academic staff – their academic freedom and the educational administration relating to them, in the responsibility to students – the teaching quality to them and production of quality graduates, in the responsibility to the government (as an external stakeholder) – the building of regional brand in the area governed by it.
Improvement of CSR performance in HE	In HE, CSR performance can be improved in four main areas, including environmental impact, stakeholder management, functional roles, and SR leadership. [More details to illustrate the links between these elements can be found in Figure 6-18.]

Table 8-1 Main theoretical contribution

Furthermore, by discussing the findings of the data analysis, three aspects of theoretical development can be contributed in addition to the exploration of the meaning of CSR in the HE sector as stated above. These three aspects of theoretical development can be explained by engaging with the summaries of discussion of findings based on two theories and one scheme, which will be specified as follows:

- (a) The characteristics of CSR activities currently implemented in HEIs are identified in the author's research. It is found that these characteristics can be explained by Crane et al.'s (2014) notion of core characteristics of CSR (in general) except one characteristic – alignment of social and economic responsibilities – alignment of social and economic responsibilities. In this regard, one of the most widely accepted conceptual models of CSR – Carroll's (1991) CSR pyramid – illustrates that economic responsibilities are “the foundation upon which all others rest”; however, in this research, the economic component was found to be lacking in current CSR practices in the HE sector.

- (b) Most of the current theories on CSR have been categorised by Garriga and Melé (2004). Their work illustrates that most of these theories are focused on some of the following four aspects: instrumental, political, integrative, and ethical. An intention of this research was to explain CSR expected practices in the HE sector from the perspectives of relevant stakeholders. The research findings contribute to the theory by adding aspects that explain CSR in the HE sector based on Garriga and Melé's (2004) categorisation. The existing research on CSR in the HE sector is limited in explaining CSR from the integrative aspect and the ethical aspect; this research adds the instrumental aspect and the political aspect to explanations of CSR in the HE sector. Regarding instrumental aspect of CSR in the HE sector, despite the perspective on university as a business criticised by Taylor (2017), in Section 7.3.1 the authors argued not to exclude this perspective for the sake of sustaining HEI itself under the topic of CSR. By linking with economic responsibilities of Carroll's (1991) CSR pyramid as stated above, without explaining CSR in the HE sector from the instrumental aspect, it will lack a foundation to make an explanation from the rest aspects; In terms of political aspect of CSR in the HE sector, discussion shows that this aspect covers much content on good governance and social power, both of which are main topics in discussing the findings of the data analysis for RQ2 (see Section 7.3). Considerable puzzles will be lacking in fully understanding CSR expected practices in the HE sector will lack from the perspectives of relevant stakeholders. Therefore, the addition of instrumental aspect and political aspect is important.
- (c) Fallah Shayan et al. (2022) have suggested that CSR is promoting the UN's SDGs. Using the SDGs as a basis, the first university rankings to gain insight into universities' social responsibilities were developed by THE in 2018. An aim of the present research was to explore approaches to improving CSR performance in the HE sector. This research contributes to the theoretical development by mapping CSR in the HE sector onto the SDGs based on a theoretical exposition of how improvement of CSR performance in the HE sector suggested can be expressed through SDGs. This research is among the first to specify which SDGs are linked with CSR in the HE sector. The specific SDGs contributed to by improving CSR performance in the HE sector include good health and well-being; gender equality; affordable and clean energy; decent work and economic growth; industry, innovation and infrastructure; reduced inequalities; sustainable cities and communities; responsible consumption and production; climate action; and partnerships for SDGs.

8.3 Practical implications

This research has three main practical implications:

- (a) The first practical implication is based on the main theoretical contribution where the lacking consideration of CSR activities currently implemented in the HE sector was identified and stated in Table 8-1. Specifically, this consideration includes CSR activities in relation to the areas that aim to protect the academic freedom of HEI staff, improve educational administration, emphasise teaching quality, ensure the production of quality graduates or develop a regional brand for representing the cultural aspects of a region. It is suggested that HEIs should take these aspects into consideration when implementing CSR activities if they intend to better serve the interests of their stakeholders.
- (b) Through discussing the findings of the data analysis for RQ3, it was identified that the participants' suggestions for improving CSR performance in the HE sector were linked with 10 of the UN's 17 SDGs (SDGs 3, 5, 7, 8, 9, 10, 11, 12, 13 and 17). Therefore, the second practical implication is that HEIs can improve their CSR performance more effectively by focusing on these 10 SDGs, utilising the SDGs listed above in the path to improve CSR performance, as detailed in Figure 7-2.
- (c) CSR as a strategy is a topical issue in the existing research in the HE context. The third practical implication is that HEIs can use the success map (see Figure 7-2) to develop their CSR strategy in terms of managing the quality of their CSR activities, as detailed in Chapter 6. Inspired by the concept of PDCA in TQM, this can be done in the form of a framework as shown in Figure 8-1.

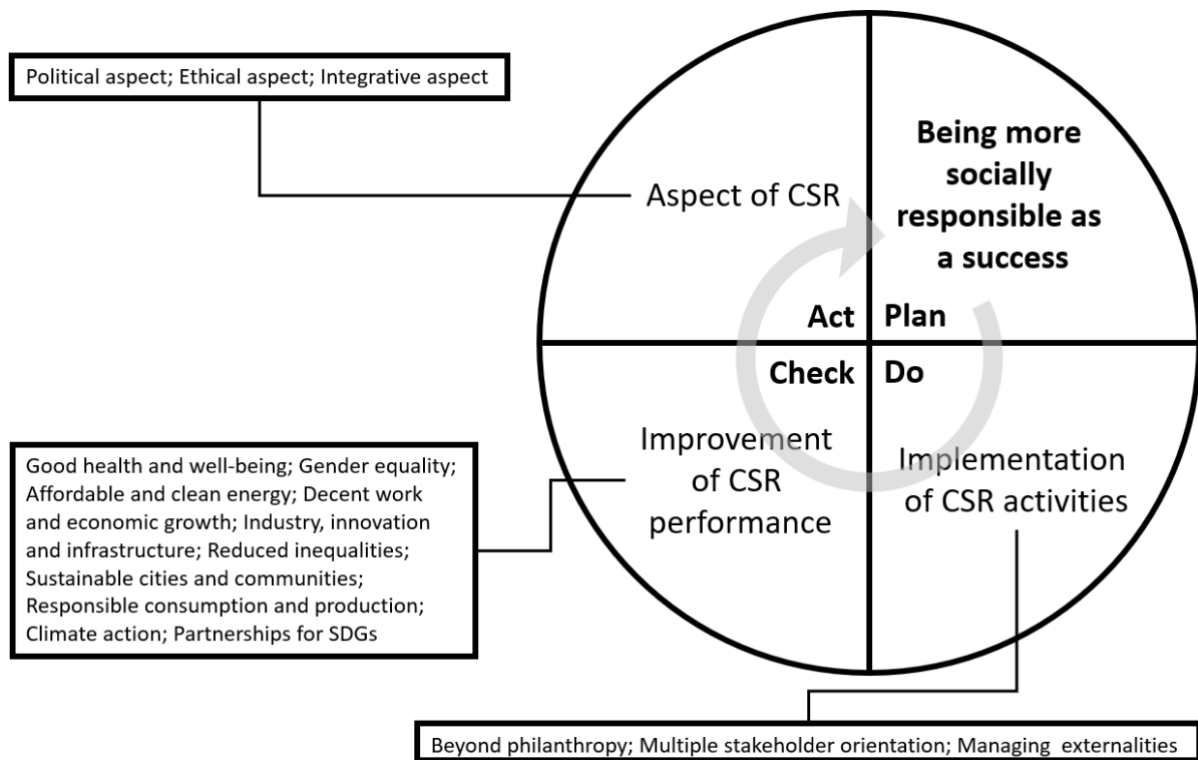


Figure 8-1 Framework for improving CSR performance in the HE sector

This framework presents the logic of improving CSR performance in the HE sector in management practice: by implementing CSR activities which can be related to beyond philanthropy, multiple stakeholder orientation, and/or managing externalities, HEIs can check if relevant CSR performance is improved, as detailed in Chapter 6. This performance can be in relation to SDGs 3 (good health and well-being), 5 (gender equality), 7 (affordable and clean energy), 8 (decent work and economic growth), 9 (industry, innovation and infrastructure), 10 (reduced inequalities), 11 (sustainable cities and communities), 12 (responsible consumption and production), 13 (climate action) and 17 (partnerships for the goals). If any of the recognised aspects of CSR have not been improved, the next step is to act on relevant aspects – political aspect, ethical aspect, and/or integrative aspect, followed by developing a plan, aiming at being more socially responsible. The potential (strategic) plan will lead to another cycle of implementation of CSR activities.

8.4 Research limitations

The main limitation of this research is related to the transferability of the findings. This is a consequence of the research design and the research fieldwork, as described below.

- (a) The unit of analysis in the author’s research is at the organisational level (i.e. institutions in the HE sector), and the participating HEIs were mainly public universities. However, as mentioned by Ellis (2020), HEIs can also include private HEIs, learning societies and

academies, research institutes, medical schools, colleges of further education, and museums and galleries. This raises the question of whether the findings on CSR activities implemented in public universities can be transferred to the context of CSR activities implemented in private universities.

- (b) The research fieldwork took place during the global Covid-19 pandemic. In this context, the findings demonstrated that some of the CSR activities being implemented in the HE sector were influenced by Covid-19. Correspondingly, some of other existing research has focused on CSR in the HE sector in the context of Covid-19. This raises questions about whether the findings in relation to Covid-19 measures can be transferred to CSR activities implemented in the HE sector in a post-pandemic world.
- (c) The recruitment of participants focused on policymakers and executives, academics, and students of HEIs due to their importance as stakeholders. This limited the research to the HEIs' internal stakeholders. However, organisations also have external stakeholders (Clarkson, 1995; Donaldson and Preston, 1995; Freeman, 1984; Galbreath, 2009). This raises the question of whether the findings based on the perspective of internal stakeholders can be transferred to the perceptions of external stakeholders. In particular, some of the findings analysed for RQ2 included aspects of CSR that aimed to meet expectations of government, but none of the participants were employed by the government. Hence, whether these findings are consistent with what the relevant government actually expects is not known. Therefore, further qualitative research can explore HEIs' responsibility to the government from the government's perspective. The findings of this further research can be used to explore the gaps between internal stakeholders' perceptions of HEIs' responsibilities to government and government's expectations of HEIs' social responsibilities to it. This is important if HEIs intend to obtain more government funding by being socially responsible.

8.5 Suggestions for further research

Based on the limitations of this research stated in Section 8.4, relevant further research is suggested below:

- (a) Further research can examine case studies of private universities with a focus on the findings of the data analysis for RQ1. The findings of this further research can be used to examine the transferability of the relevant findings of this thesis in private university settings. Furthermore, it can compare the CSR activities that are implemented by HEIs in different settings (i.e. public vs. private).

- (b) Further research can revisit studies in HEIs that implemented Covid-19 measures to explore the current status of those measures. Similarly, given that COP26 was held in the UK during the fieldwork period, the findings related to CSR activities implemented in the HE sector (most of which were about developing a green campus) include those activities that were influenced by COP26. Revisited studies can also be conducted for exploring the current status of the activities of UK's HEIs for developing a green campus after the holding of COP26. The findings of this research can be used in future to explore the continuity of relevant CSR activities implemented by HEIs in contexts that have changed (i.e. the pandemic world versus the post-pandemic world, pre-COP26 versus post-COP26 in the UK).
- (c) Further qualitative research can explore HEIs' responsibility to the government from the government's perspective. The findings of this further research can be used to explore the gaps between internal stakeholders' perceptions of HEIs' responsibilities to government and government's expectations of HEIs' social responsibilities to it. This is important if HEIs intend to obtain more government funding by being socially responsible.
- (d) Further research can conduct longitudinal studies to measure improvements in CSR performance in the HE sector by using the framework presented in Figure 8-1. The findings of this further research can then be used to assess the effectiveness of the proposed framework for improving CSR performance in the HE sector. This is important if HEIs intend to become more socially responsible by applying this framework.

Besides, with regard to some of the findings presented in this thesis, there is limited corresponding research in the existing literature. Therefore, further research may be needed in relation to these findings. Firstly, some of the findings in this thesis suggested that CSR in the HE sector includes producing socially responsible students and having socially responsible academic staff. However, the existing research on CSR and stakeholders does not consider stakeholders' social responsibilities. Secondly, some of the findings suggested that engaging with alumni is a responsibility that HEIs have to their students. However, the existing research on alumni engagement is limited to the benefits that this engagement can achieve for the HEI. Lastly, some findings in this research suggested that CSR in the HE sector is a legacy of HEIs' cultural and spiritual history. In this regard, the literature suggests that CSR was seeded during the Industrial Revolution and the ancient world. However, despite exploring the evolution of HE in general, the existing research does not consider how CSR has evolved in the HE sector. Therefore, further research can focus

on topics related to stakeholders' social responsibilities, HEIs' responsibility for engaging with alumni, and the evolution of CSR in the HE sector. Exploring these topics can present new angles for researching CSR in the HE sector.

8.6 Summary

In this Chapter, the author concluded the main theoretical contribution of his research (i.e. explanation of what CSR means in HE context) as well as three additional contributions to theoretical development (including identifying the characteristics of CSR in the HE sector; adding instrumental aspects and political aspects to explain CSR expected practices in the HE sector; and specifying the linkage of SDGs with CSR in the HE sector). In practice, it was concluded that this research can contribute to considering the aspects of CSR in the HE sector to better serve the interests of HEI's stakeholders; to taking a path to improvement of CSR performance in the HE sector; and to developing CSR strategy in terms of managing the quality of HEI's CSR activities. The limitations of this research were identified in the transferability of the findings to CSR activities implemented by HEIs in the settings in addition to public universities; the transferability of the findings to HEIs' CSR activities implemented in the contexts of the post-pandemic world and of COP26 ending in the UK; the transferability of the findings to the aspects of CSR should be covered in the HE sector from the perspectives of HEI's external stakeholders; and the uncertainty of effectiveness of the proposed framework for improving CSR performance in the HE sector. Further research was suggested to be conducted in examining the transferability of the findings to and comparing CSR activities implemented in HEIs in different settings; in exploring the current status of the activities of UK's HEIs for developing a green campus after the holding of COP26; in exploring the gaps between internal stakeholders' perceptions of HEIs' responsibilities to government and government's expectations of HEIs' social responsibilities to it; and in putting a focus on topics related to stakeholders' social responsibilities, HEIs' responsibility for engaging with alumni, and the evolution of CSR in the HE sector.

8.7 Reflection

It comes to the end of my thesis. In retrospect, I precisely get the answer to a question which I asked myself at the beginning of this journey: "What is the difference in study between a master's degree and a doctorate degree?"

Finding an answer to this question was important for me as, in the first year of my PhD journey, I tried to apply the learning methods used in my master's courses; however, I gradually found that my journey was progressing not that well. My supervisors sometimes used pizza as a metaphor to guide me to know how I

could conduct my research better. I think this metaphor of pizza was a turning point in letting me know what role a PhD researcher should play. “Pizza” as a metaphor was used to refer to studying at different levels. Studying for a bachelor’s degree is to learn what ingredients are used in making a pizza; studying for a master’s degree is to learn in what way a pizza can be made; while studying for a doctorate degree is to *attempt to actually make a pizza myself based on my learning*.

I believe that most of us do not deny that “talk” is always easier than “walk”. Tens of thousands of people can talk about what ingredients are used in making a pizza; thousands of these people can talk about in what way a pizza can be made; but I am afraid it is only hundreds of these people have made a pizza themselves, regardless of the taste. It links with another point I want to share in this reflection: *accepting an imperfect myself*. When I was looking back what I have done for this study, especially in preparing my data for deposit and in finalising my thesis, I could always find that something I did could have been done better, and even something I did was “too stupid”. The pizza I made may be a little bit sour, or even too salty. When blaming myself for my imperfect doing, sometimes, I could not make a progress, I encountered insomnia, and I even cried at midnight. I identified that my supervisors were always helping me to move towards progress. They always accepted my imperfection, so why can’t I accept an imperfect myself? Even now that I will be soon submitting my thesis, basically, I would say my pizza may taste not that delicious. Accepting an imperfect me, getting some feedback from my “pizza tasters”, then attempting to make a more delicious pizza in future. That’s it.

A “pizza” in the word of my supervisors actually refers to knowledge. Some friends of mine (who have not taken a PhD journey) often asked me a question like this: “In a digital world, we can easily get some knowledge online, why somebody like you should work so hard to have a PhD journey?” I cannot deny that knowledge is much more accessible in a digital world. However, according to what I mentioned above, a PhD journey is about making a pizza, i.e. contributing to knowledge. Therefore, it is more than a journey for getting (existing) knowledge. In my case, I believe that as long as I keep reviewing CSR-related literature in my daily life, I can be more knowledgeable in CSR than my supervisors one day. In my PhD journey, what I learn from my supervisors is, more than knowledge, mainly about *how to become more critical and logical* as a researcher. The importance of thinking critically and logically for a researcher is like that of drinking water for human beings. This kind of thinking might not give me a fruitful taste as what getting knowledge does; however, what I, as a human being, must drink every day is water rather than fruitful beverages.

The last thing I would like to mention in this reflection is, since the end of my second year, especially my third year in this PhD journey, I started worrying about my career. By reading the job requirements for

applying for an academic position, I realised that (the amount of) publications are essential components. There was a time when I was looking for a way to have some pre-PhD publications, my PhD research was progressing really slowly. My supervisors showed me the way to have my publications. I got to know that I should keep calm and take my PhD research as priority. At that time, it reminded me of one of my life mottos, which is used to end my reflection section, “淡泊明誌, 寧靜致遠”, said by Chu-ko Kung-ming, which means “Living a simple life helps in knowing the aspiration; and keeping calm helps in going far” in English.

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Appendices

Appendix A Invitation letter for potential non-student participants

To:

From: Sijin He, PhD Student, Adam Smith Business School, University of Glasgow

Subject: Invitation Letter for Interview for Research

Date:

Dear ... <title and name of the respective programme leader/director will appear here>,

I am Sijin He, current PhD student researching on *Corporate social responsibility in higher education: concept, content, improvement* at Adam Smith Business School, University of Glasgow. I am writing to invite you to participate in a 1-hour voluntary interview for my PhD research. I am doing this research under the supervision of Dr. Farhad Shafti and Dr. Georgios Kominis of the Adam Smith Business School.

As part of my PhD research project I will be using the collected data to understand how HEI policymakers perceive CSR strategies and practices in their respective university, including five main themes as below⁸

Higher education's implementation

Higher education's stakeholder issue

Higher education's (social) responsibility

Higher education's measurement for CSR performance

Higher education's improvement based on CSR performance in practice

This project has been approved by the College of Social Sciences Ethics Committee at the University of Glasgow. Please be assured that all required protocols will be followed in accordance to the University of Glasgow policies and regulation on ethics and data protection.

The results will be disserted to you and written summary of results will also be provided if requested.

I would like to express my heartfelt gratitude in considering my invitation for this interview.

⁸ This is the version for inviting potential HEI policymakers/executives. In terms of the version for inviting (CSR) academics, this paragraph was edited as "As part of my PhD research project I will be using the collected data to understand how CSR academics perceive CSR application in their respective university, including five main themes as below".

Please let me know if I can provide you with any further details or if you need to discuss any concerns with me via s.he.1@research.gla.ac.uk

I am looking forward to hearing from you.

Yours faithfully,

Sijin He

Appendix B Participant information form



University
of Glasgow

College of Social
Sciences

Participant Information Sheet

Respectful Madam/Sir,

You are being invited to take part in a research study. Before you decide to take part it is important for you to understand why the research is being done and what it will involve. Please read the following information carefully and discuss it with others if you wish. Ask the researcher/s if there is anything that is not clear or if you would like more information. Take some time to decide whether or not you wish to take part.

Thank you for reading this.

I am Sijin He, a Management PhD student from University of Glasgow. I am researching on *corporate social responsibility in higher education: concept, content, improvement*. This project is to explore how corporate social responsibility (CSR) is applied in the higher education (HE) sector. The data are expected to be collected in the selected universities in the UK and China. More specifically, focus group will be adopted as one of research methods to collect data from university's students due to their position as main users of higher education institution's service who may be potentially affected by the CSR policies of the university.

Please note that this is a voluntary participation in a 1-hour interview. Data will be de-identified by a reversible process whereby identifiers are replaced by a code, to which the researcher only retains the key, in a secure location. All persons will be referred to by pseudonym in publication arising from the research. Participant can leave focus group at any time.

Please note that assurances on confidentiality will be strictly adhered to unless evidence of wrongdoing or potential harm is uncovered. In such cases the University may be obliged to contact relevant statutory bodies/agencies. Also note that during the focus group session it may not be possible to ensure anonymity.

Any paper format of the data will be stored at University of Glasgow (kept secure in locked facility/cabinet), and electronic (files to be available by password only and data encrypted). Data can be

accessed by researchers, supervisors, examiners, research assistants, Heads of Department, and transcribers. Personal data will be retained securely until the completion of the PhD course and then paper document will be shredded. Data will be retained intact for a period of 10 years after the completion of the PhD course per The University guidelines in The University of Glasgow (Enlighten Research Data), and paper documents will be shredded. The results will be disserted to participants and peers/colleagues. For the participants, written summary of results will be provided (if requested). As for peers/colleagues, the results will be provided in the form of a PhD thesis, journal articles, conference papers, written summary of results (if requested). Additionally, focus group transcript in English/Chinese will be made available to the participant if the participant request to see it in order to amend statements or withdraw from the study. Datasets suitable for future re-use will be available via a data repository but with restricted access, and available from researchers by personal request. During the data retention period of 10 years, the data will only be available to my supervisors, examiners and academics that may join in with my supervisors to publish a paper out of my thesis. All these individuals need to seek and request the data from myself.

This project has been considered and approved by the College Research Ethics Committee

To pursue any complaint about the conduct of the research: contact the College of Social Sciences Ethics Officer, Dr Muir Houston, email: Muir.Houston@glasgow.ac.uk

If you have queries about the projects, please contact

Sijin He (researcher): s.he.1@research.gla.ac.uk

Dr. Farhad Shafti (principal supervisor): farhad.shafti@glasgow.ac.uk

Dr. Georgios Kominis (second supervisor): georgios.kominis@glasgow.ac.uk

_____End of Participant Information Sheet_____

Appendix C Consent form



College of Social
Sciences

Consent Form

Title of Project: Corporate social responsibility in higher education: concept, improvement

Name of Researcher: Sijin He

Name of Supervisors: Dr. Farhad Shafti; Dr. Georgios Kominis

Please tick as appropriate

Yes No I confirm that I have read and understood the Participant Information Sheet for the above study and have had the opportunity to ask questions.

Yes No I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason.

Yes No I consent to interview session being audio-recorded

Yes No I acknowledge that participants will be referred to by pseudonym

I agree that

Yes No All names and other material likely to identify individuals will be anonymised.

Yes No The material will be treated as confidential and kept in secure storage at all times.

Yes No The material will be retained in secure storage for use in future academic research

Yes No The material may be used in future publications, both print and online.

Yes No Other authenticated researchers may use my words in publications, reports, web pages, and other research outputs, only if they agree to preserve the confidentiality of the information as requested in this form

Yes No I acknowledge the provision of a Privacy Notice in relation to this research project.

I agree to take part in this research study

I do not agree to take part in this research study

Name of Participant Signature

Date

Name of ResearcherSignature

Date

..... End of consent form

PRIVACY NOTICE

Privacy Notice for Participation in Research Project: Corporate social responsibility in higher education: concept, content, improvement (Researcher: Sijin He)

Your Personal Data

The University of Glasgow will be what's known as the 'Data Controller' of your personal data processed in relation to your participation in the research project *Performance measurement for corporate social responsibility in higher education*. This privacy notice will explain how The University of Glasgow will process your personal data.

Why we need it

We are collecting basic personal data such as your name and contact details in order to conduct our research. We need your name and contact details to arrange interviews/focus groups and potentially follow up on the data you have provided.

We only collect data that we need for the research project and will de-identify your personal data from the research data (your answers given during the interview/focus group, for example) through pseudonymisation.

Please note that your confidentiality may be impossible to guarantee for example due to the size of the participant group, location etc. Please see accompanying **Participant Information Sheet**,

Legal basis for processing your data

We must have a legal basis for processing all personal data. As this processing is for Academic Research we will be relying upon **Task in the Public Interest** in order to process the basic personal data that you provide. For any special categories data collected we will be processing this on the basis that it is **necessary for archiving purposes, scientific or historical research purposes or statistical purposes**

(Please consult the [UofG GDPR guidance](#) / ICO guidance / ICO lawful basis interactive tool to **check** that this is the **correct basis** for processing the personal data. Links available on College ethics website, Information for Applicants.)

Alongside this, in order to fulfil our ethical obligations, we will ask for your **Consent** to take part in the study Please see accompanying **Consent Form**.

What we do with it and who we share it with

All the personal data you submit is processed by: staff at the University of Glasgow in the United Kingdom. In addition, security measures are in place to ensure that your personal data remains safe: pseudonymisation, secure storage, and, encryption of files and devices. Please consult the **Consent form** and **Participant Information Sheet** which accompanies this notice.

(Possible further use of data suggested clause: Due to the nature of this research it is very likely that other researchers may find the data collected to be useful in answering future research questions. We will ask for your explicit consent for your data to be shared in this way.)

We will provide you with a copy of the study findings and details of any subsequent publications or outputs on request.

What are your rights?*

GDPR provides that individuals have certain rights including: to request access to, copies of and rectification or erasure of personal data and to object to processing. In addition, data subjects may also have the right to restrict the processing of the personal data and to data portability. You can request access to the information we process about you at any time.

If at any point you believe that the information we process relating to you is incorrect, you can request to see this information and may in some instances request to have it restricted, corrected, or erased. You may also have the right to object to the processing of data and the right to data portability.

Please note that as we are processing your personal data for research purposes, the ability to exercise these rights may vary as there are potentially applicable research exemptions under the GDPR and the Data Protection Act 2018. For more information on these exemptions, please see [UofG Research with personal and special categories of data](#).

If you wish to exercise any of these rights, please submit your request via the [webform](#) or contact dp@gla.ac.uk

Complaints

If you wish to raise a complaint on how we have handled your personal data, you can contact the University Data Protection Officer who will investigate the matter.

Our Data Protection Officer can be contacted at dataprotectionofficer@glasgow.ac.uk

If you are not satisfied with our response or believe we are not processing your personal data in accordance with the law, you can complain to the Information Commissioner's Office (ICO) <https://ico.org.uk/>

Who has ethically reviewed the project?

This project has been ethically approved in three stages: supervision review via supervisors, and administrative check and ethical (academic) review via the College of Social Sciences Research Ethics Committee.

How long do we keep it for?

Your **personal** data will be retained by the University only for as long as is necessary for processing and no longer than the period of ethical approval 26/10/2020. After this time, personal data will be securely deleted.

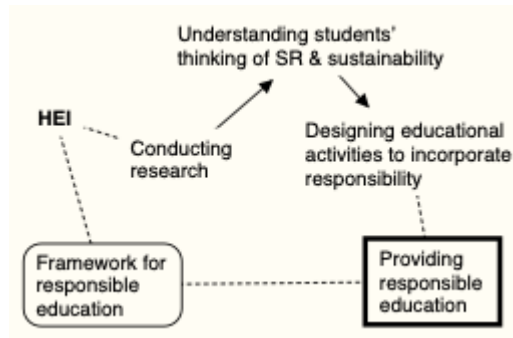
Your **research** data will be retained for a period of ten years in line with the University of Glasgow Guidelines. Specific details in relation to research data storage are provided on the Participant Information Sheet and Consent Form which accompany this notice.

End of Privacy Notice _____

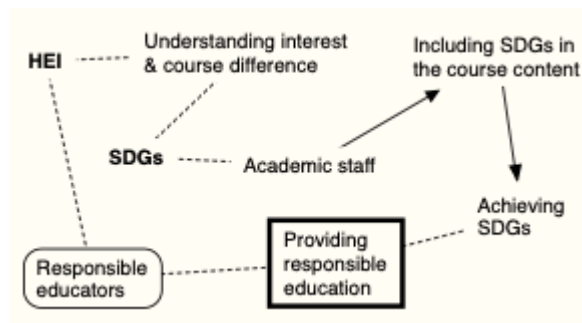
Appendix E The maps of analysing RQ1's topics mentioned by fewer participants

Providing responsible education –

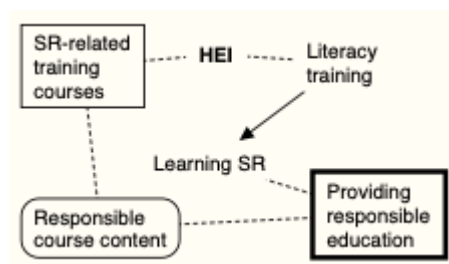
HEI's development of framework for responsible education



HEI's process of having responsible educators

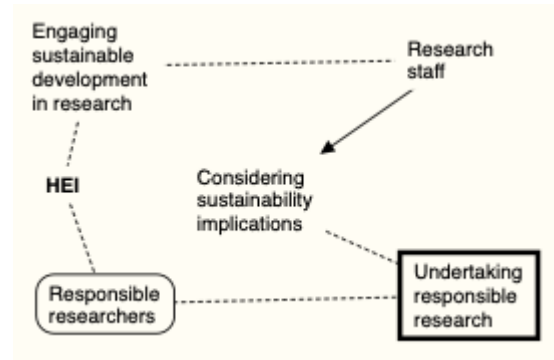


HEI's provision of SR-related training courses

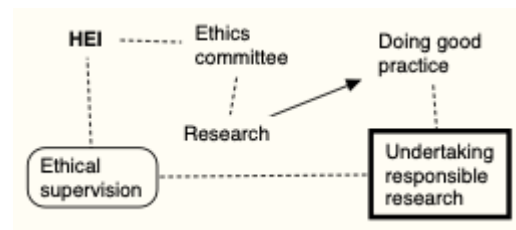


Undertaking responsible research –

HEI's process of having responsible researchers

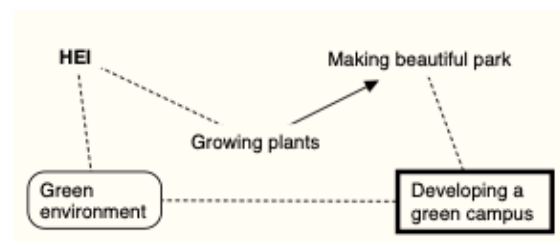


HEI's ethical supervision of research processes

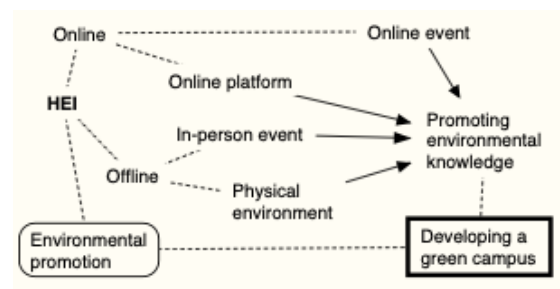


Developing a green campus –

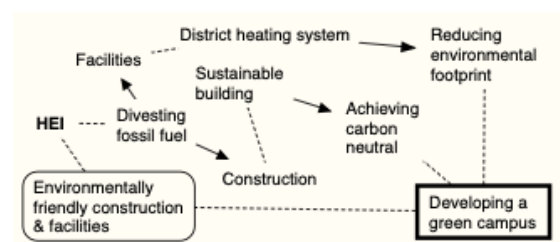
HEI's provision of green environment



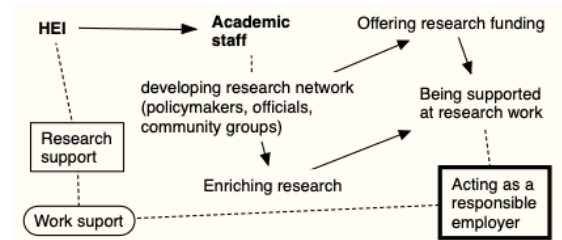
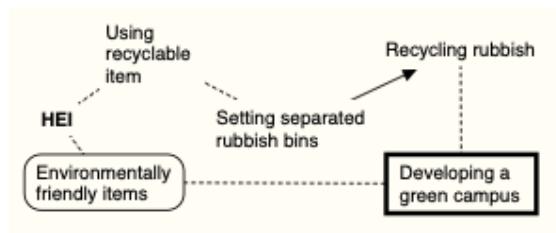
HEI's engagement in environmental promotion



HEI's provision of environmentally friendly construction and facilities



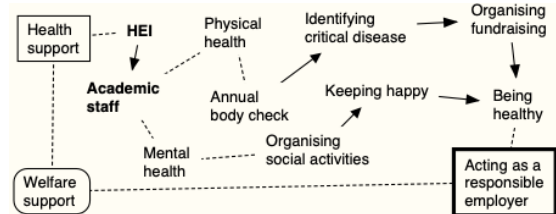
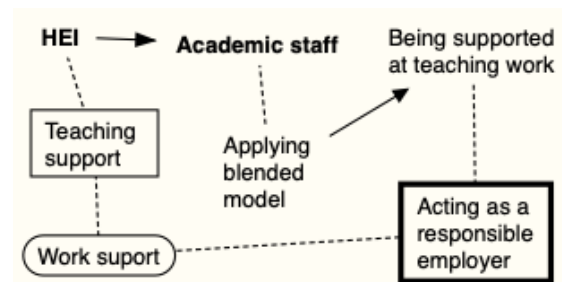
HEI's use of environmentally friendly items



HEI's provision of teaching support for academic staff

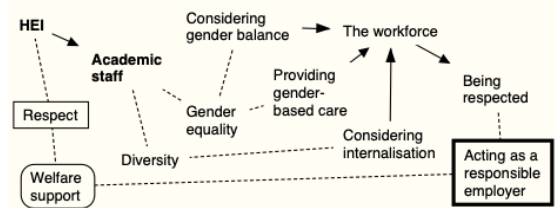
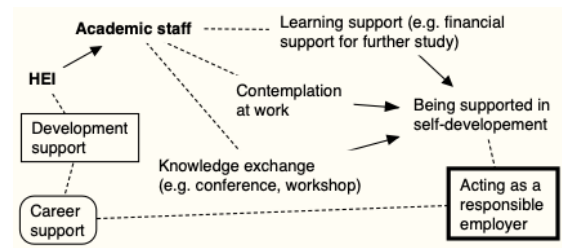
Acting as a responsible employer –

HEI's provision of health support for academic staff



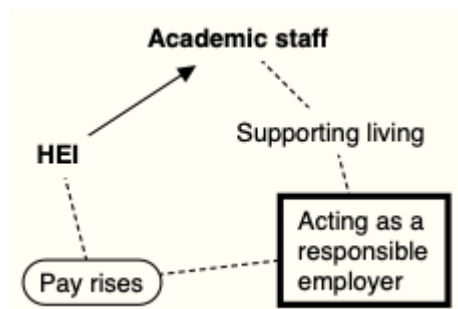
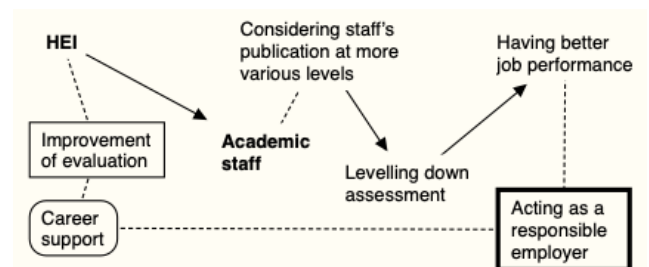
HEI's development support to academic staff

HEI's give of respect to academic staff



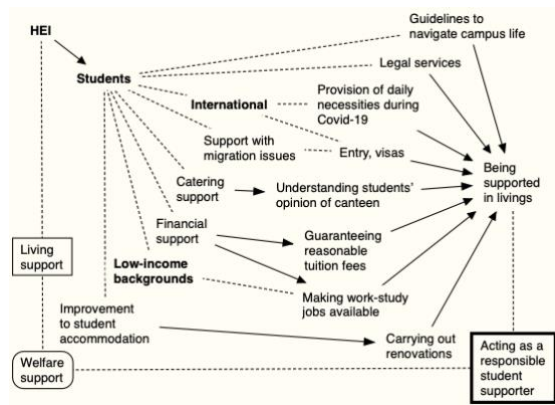
HEI's improvement of evaluation of academic staff

HEI's undertaking of pay rises of academic staff

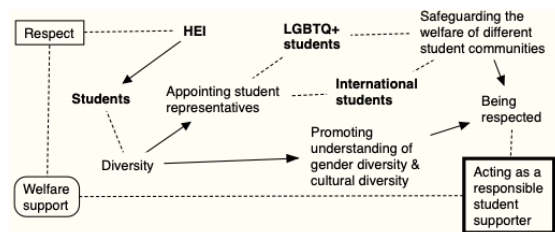


HEI's provision of research support for academic staff

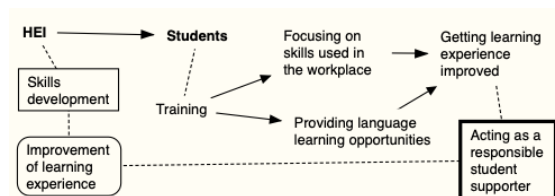
Acting as a responsible student supporter – HEI's provision of living support for students



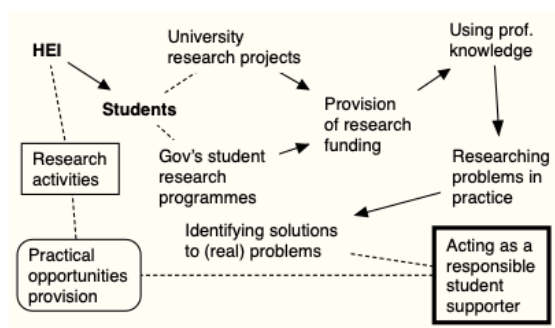
HEI's give of respect to students



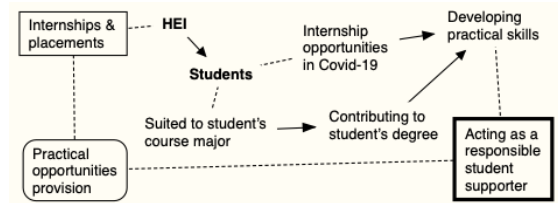
HEI's provision of skills development opportunities for students



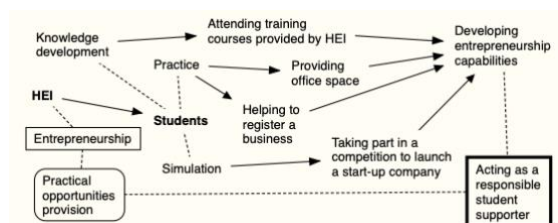
HEI's provision of research opportunities for students



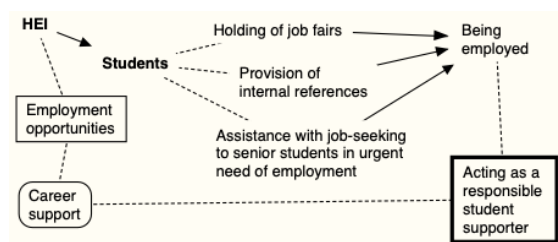
HEI's provision of internship and placement opportunities for students



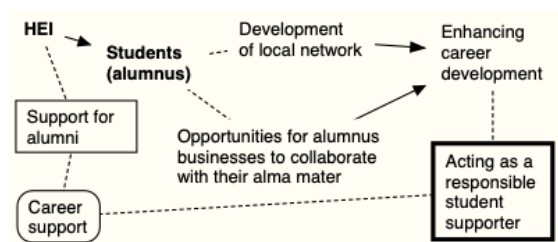
HEI's provision of entrepreneurship opportunities for students



HEI's provision of employment opportunities for students

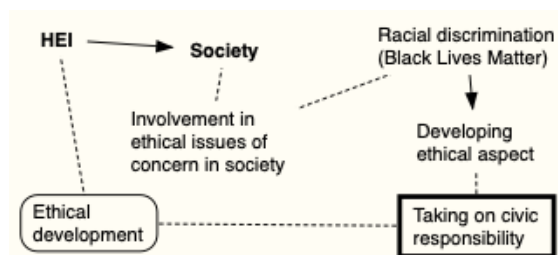


HEI's provision of support for alumni

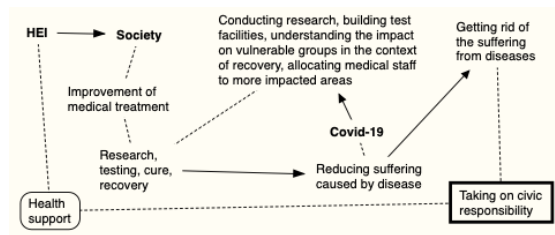


Taking on civic responsibility –

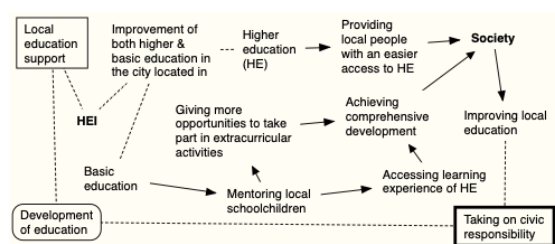
HEI's civic responsibility for contributing to ethical development



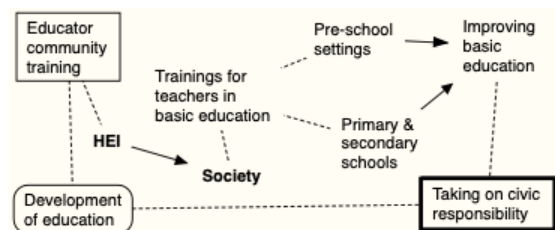
HEI's civic responsibility for giving health support



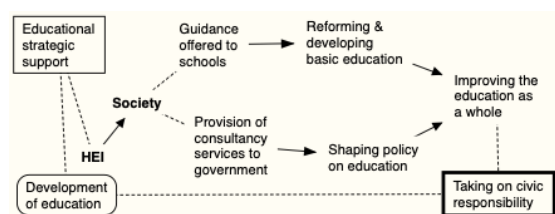
HEI's civic responsibility for supporting local education



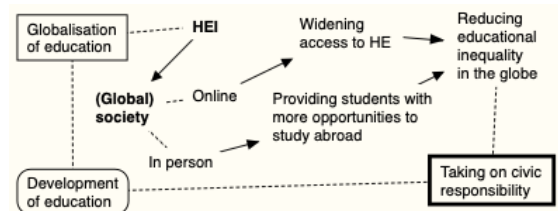
HEI's civic responsibility for training educator community



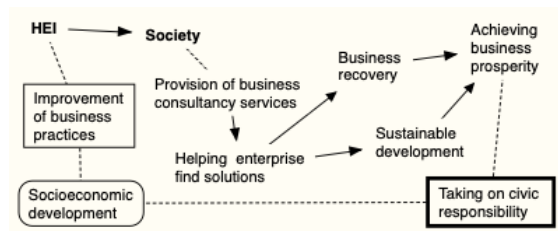
HEI's civic responsibility for providing educational strategic support



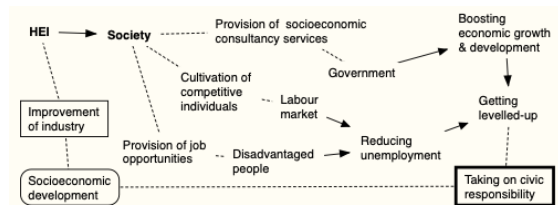
HEI's civic responsibility for globalisation of education



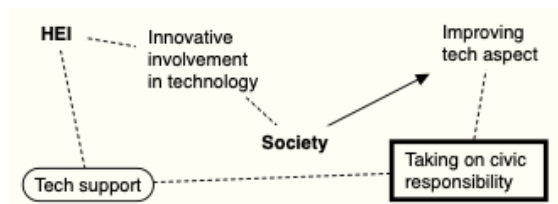
HEI's civic responsibility for improving business practices



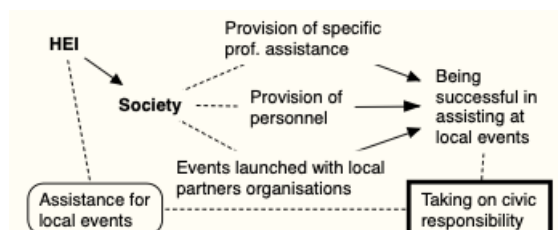
HEI's civic responsibility for improving industry



HEI's civic responsibility for giving tech support

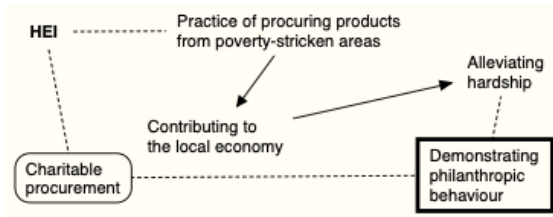


HEI's civic responsibility for providing assistance for local events

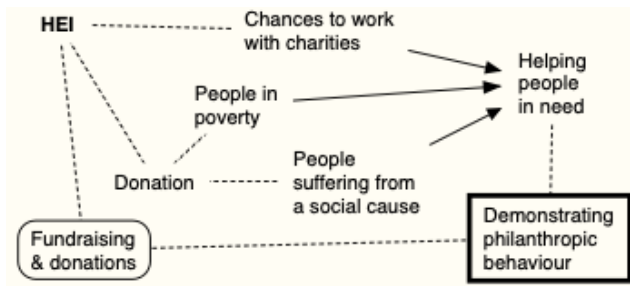


Demonstrating philanthropic behaviour –

HEI's philanthropic behaviour of doing charitable procurement



HEI's philanthropic behaviour of undertaking fundraising and donations



Appendix F Summary of table of statistics for (sub-)themes and (sub-)codes: current CSR implementation in the HE sector

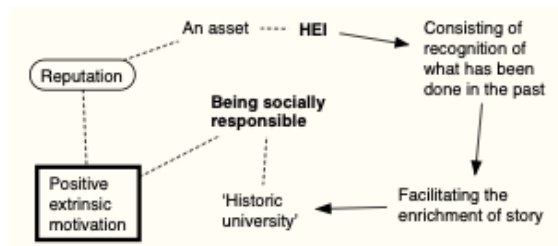
Theme	Topics that were mentioned by participants of HEIs in both countries	Topics that were mentioned by most participants (highest to lowest)	Topics that were mentioned by least participants (highest to lowest)	Non-applicable (sub-)topic
Development of responsible campus	<p>Providing responsible education: Framework for responsible education, Responsible course content (SR-related academic courses, SR-embedded academic courses)</p> <p>Undertaking responsible research: Responsible research content</p> <p>Developing a green campus: Environmentally friendly working practices</p> <p>Acting as a responsible employer (RE): Welfare support (Health support), Work support (Research support), Career support (Development support)</p> <p>Acting as a responsible student supporter (RSS): Welfare support, Improvement of learning experience, Practical opportunities provision (Volunteering, Research activities, Internships & placements), Career support</p>	<p>Overall: RSS-Practical opportunities provision (Volunteering), RSS-Welfare support (Health support), Responsible course content (SR-embedded academic courses, SR-related academic courses), RSS-Career support (Career-related preparation assistance), Responsible course content, RSS-Improvement of learning experience (Improvement of learning environment)</p> <p>China: RSS-Practical opportunities provision (Volunteering), RSS-Welfare support (Health support, Living support), RSS-Career support (Career-related preparation assistance), RSS-Improvement of learning experience (Improvement of learning environment), Responsible course content (SR-related academic courses), RE-Welfare support and RE-Career support (Development support)</p> <p>UK: Responsible course content (SR-embedded academic courses), Environmentally friendly transportation and RSS-Welfare support, RSS-Practical opportunities provision, Responsible research content, RE-Work support (Research support) and RSS-Career support (Career-related preparation assistance)</p>	<p>Overall: Framework for responsible education, Environmentally friendly working practices, RE-Welfare support, RE-Work support, RE-Career support</p> <p>China: Framework for responsible education, Environmentally friendly working practices, RE-Work support, Green environment</p> <p>UK: Framework for responsible education, Ethical supervision, RE-Welfare support, RE-Pay rises, RE-Career support, Responsible researcher, RSS-Improvement of learning experience, Responsible educator, Environmental promotion, Environmentally friendly construction & facilities, Environmentally friendly items, Environmentally friendly working practices</p>	<p>China: Responsible educators, SR-related training courses (within Responsible course content), Responsible researchers, Ethical supervision, Environmental promotion, Environmentally friendly construction & facilities, Environmentally friendly items, Environmentally friendly transportation, RE-Pay rises, Teaching support (within RE-Work support)</p> <p>UK: Green environment, Improvement of evaluation (within RE-Career support), Entrepreneurship (within RSS-Practical opportunities provision)</p>

<p>A responsible member of society</p>	<p>Supporting community development (CD): Learning support, Health support Taking on civic responsibility (CR): Health support, Development of education (Local education support), Socioeconomic development (Improvement of business practices, Improvement of industry), Tech support, Assistance for local events Demonstrating philanthropic behaviour: Fundraising & donation</p>	<p>Overall: CR-Development of education (Educational undertakings support), CR-Socioeconomic development (Poverty reduction), CD-Learning support, CD-Health support China: CR-Development of education (Educational undertakings support), CR-Socioeconomic development (Poverty reduction), CD-Health support, Charitable procurement UK: CD-Learning support, CR-Development of education and CR-Socioeconomic development, CR-Ethical development and CR-Health support</p>	<p>Overall: CR-Tech support, CR-Health support, CR-Assistance for local events, Fundraising & donation China: CR-Health support, CR-Tech support, CD-Learning support, CR-Assistance for local events, Fundraising & donation UK: CD-Health support, CR-Tech support, CR- Assistance for local events, Fundraising & donation</p>	<p>China: Ethical development, Globalisation of education (within CR-Development of education) UK: Educational undertakings support, Educator community training and Educational strategic support (within CR-Development of education), Poverty reduction (CR-Socioeconomic development), Charity procurement</p>
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Appendix G The maps of analysing RQ2's topics mentioned by fewer participants

Positive extrinsic motivation for being socially responsible –

Reputation as a motivation for being socially responsible



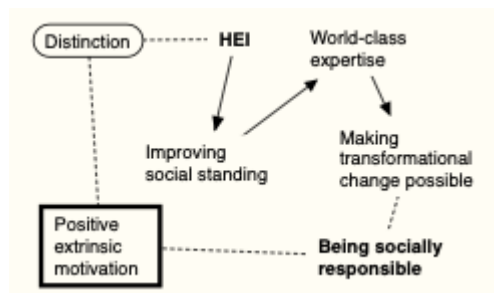
HEI's societal impact through SR



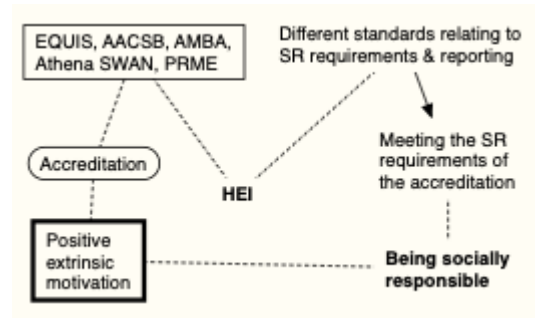
HEI's standardisation through SR



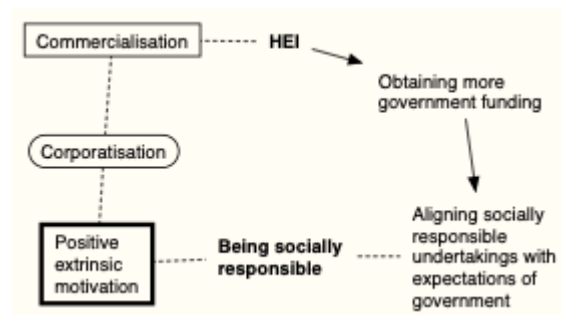
HEI's distinction through SR



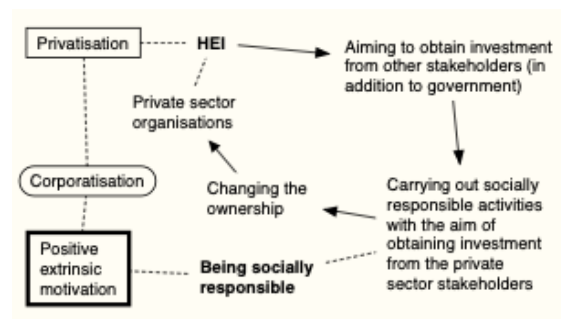
HEI's accreditation through SR



Commerce-related motivations for being socially responsible

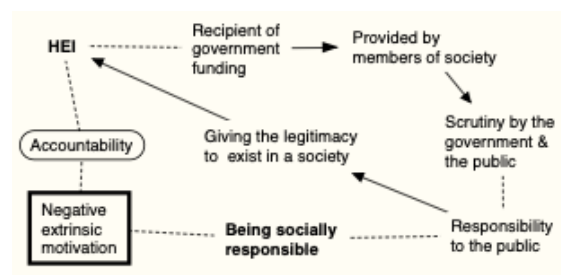


HEI's SR influenced by private sector organisations

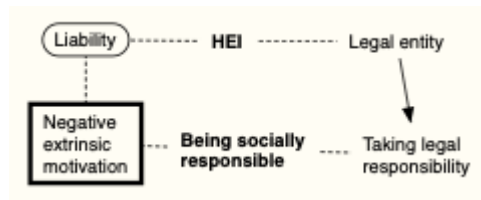


Negative extrinsic motivation for being socially responsible –

HEI's enforcement of accountability

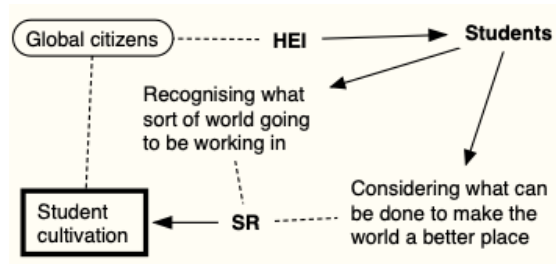


HEI's enforcement of liability



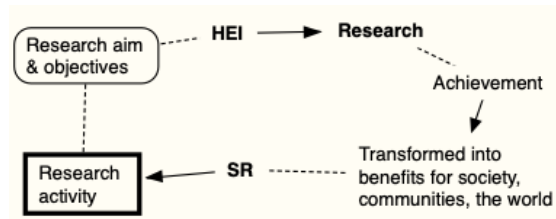
Integration of SR into student cultivation –

HEI's cultivation of global citizens

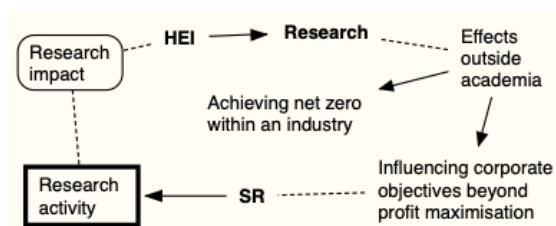


Integration of SR into research activity –

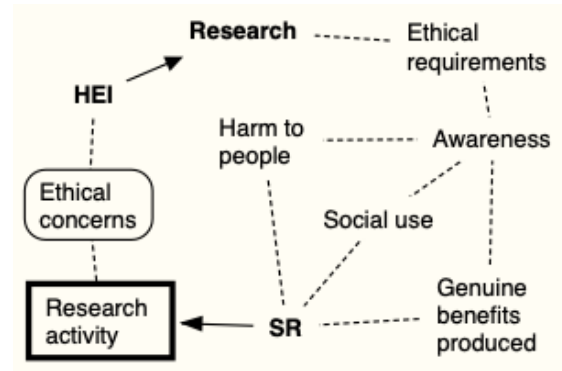
HEI's research aim and objectives with SR



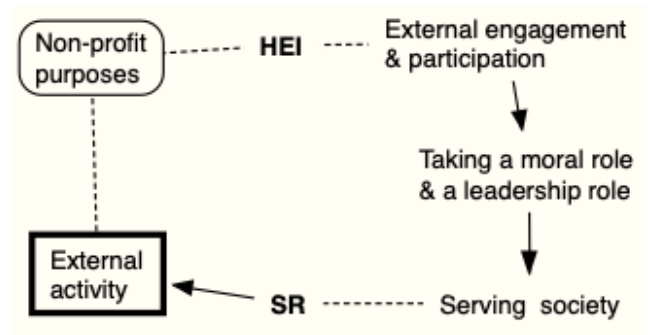
HEI's research impact with SR



HEI's ethical concerns in research

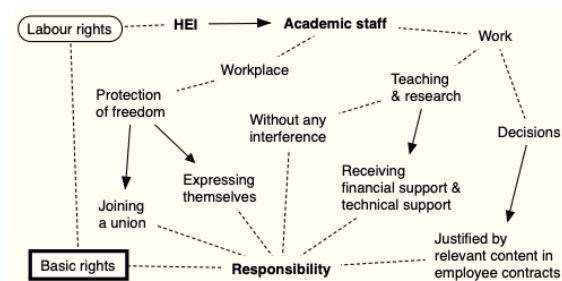


HEI's non-profit purposes in external activity

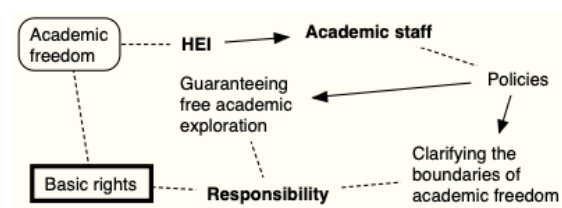


Basic rights of academic staff –

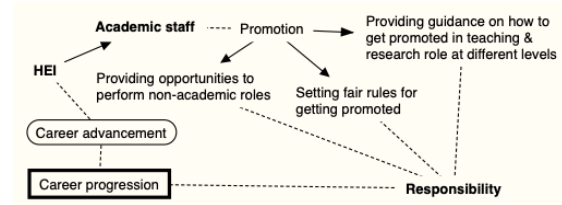
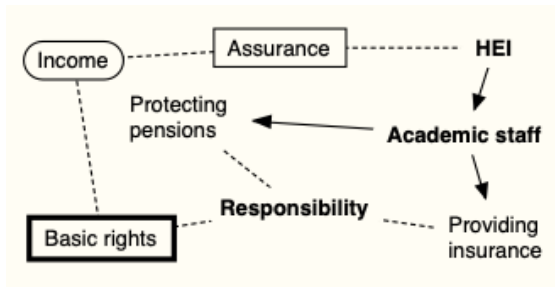
HEI's responsibility to academic staff: labour rights



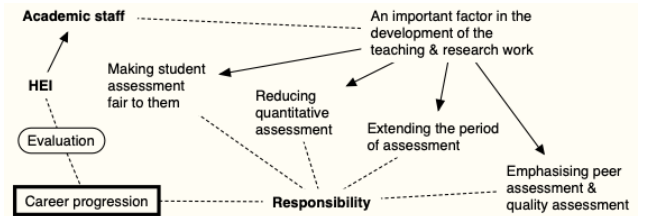
HEI's responsibility to academic staff: academic freedom



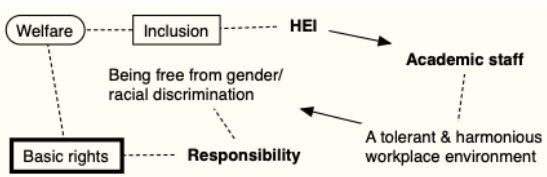
HEI's responsibility to academic staff: income assurance



HEI's responsibility to academic staff: evaluation



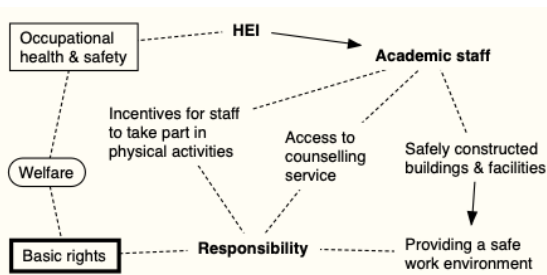
HEI's responsibility to academic staff: inclusion



Educational administration to academic staff – HEI's responsibility to academic staff: improving administrative procedures

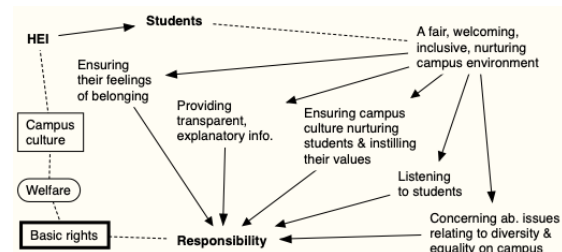


HEI's responsibility to academic staff: occupational health and safety

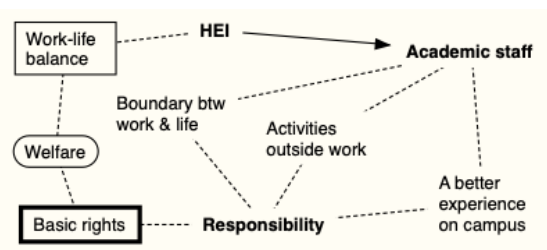


Basic rights of students –

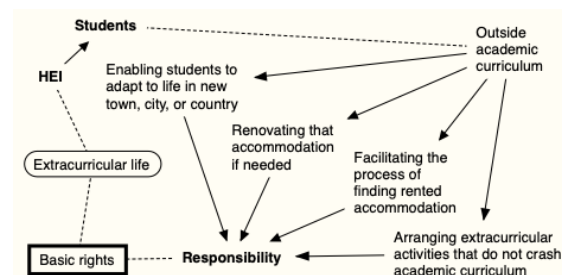
HEI's responsibility to students: campus culture



HEI's responsibility to academic staff: work-life balance



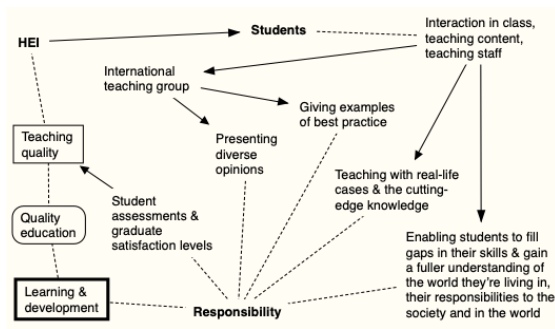
HEI's responsibility to students: extracurricular life



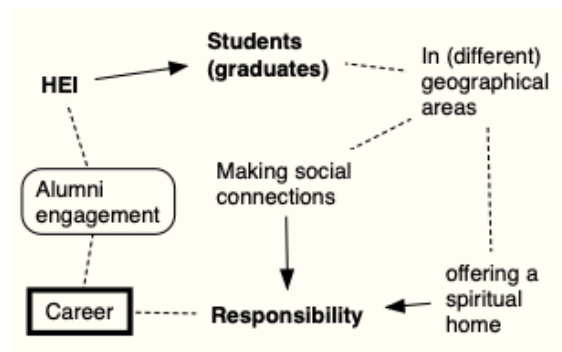
Career progression of academic staff –

HEI's responsibility to academic staff: career advancement

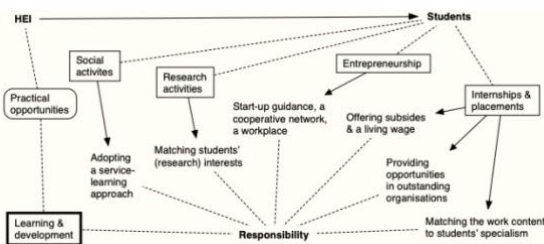
Learning and development of students –
HEI's responsibility to students: teaching quality



HEI's responsibility to students: alumni engagement

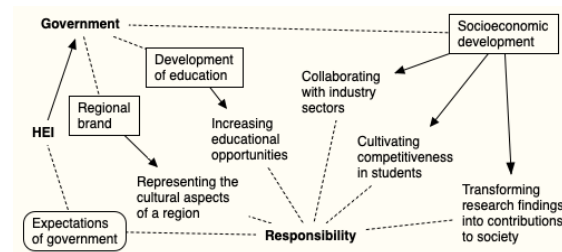


HEI's responsibility to students: practical opportunities



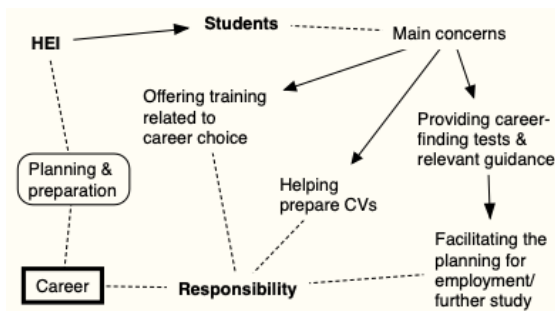
HEI's responsibility to external stakeholders –

Meeting expectations of government

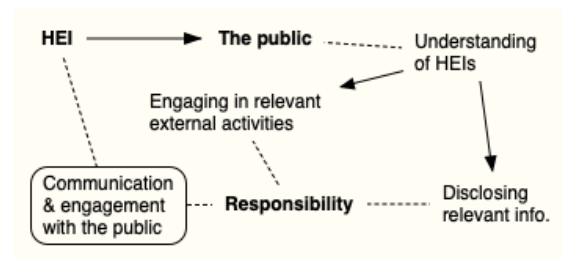


Career of students –

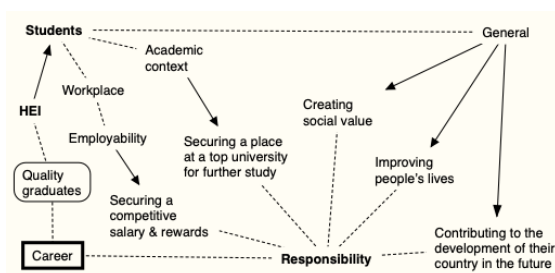
HEI's responsibility to students: career planning and preparation



Communication and engagement with the public



HEI's responsibility to students: producing quality graduates



Appendix H Summary of table of statistics for (sub-)themes and (sub-)codes: the main stakeholders' perceptions of CSR in the HE sector

Theme	Topics that were mentioned by participants of HEIs in both countries	Topics that were mentioned by most participants (highest to lowest)	Topics that were mentioned by least participants (highest to lowest)	Topics that were mostly frequently mentioned (highest to lowest)	Topics that were least frequently mentioned (highest to lowest)	Non-applicable (sub-)topic
Motivation for being socially responsible	<p>Intrinsic motivation: Public nature, Cultural & spiritual legacy</p> <p>Positive extrinsic motivation: Reputation, Impact (Societal impact, Community impact), Distinction, Standardisation, Corporatisation, Accreditation (AACSB),</p> <p>Negative extrinsic motivation: Accountability</p>	<p>Overall: Public nature, Cultural & spiritual legacy, Impact (Community impact), Corporatisation (Marketisation)</p> <p>China: Public nature, Cultural & spiritual legacy</p> <p>UK: Impact (Community impact, International impact), Corporatisation (Marketisation), Cultural & spiritual legacy, Public nature</p>	<p>Overall: Liability, Distinction, Standardisation and Accountability, Reputation, Accreditation</p> <p>China: Distinction, Reputation, Standardisation and Liability, Accountability, Impact</p> <p>UK: Distinction and Accountability, Standardisation, Reputation, Accreditation</p>	<p>Overall: Impact (International impact, Community impact), Public nature, Corporatisation (Marketisation), Cultural & spiritual legacy</p> <p>China: Public nature, Cultural & spiritual legacy and Accreditation (EQUIS), Corporatisation (Marketisation)</p> <p>UK: Impact (International impact, Community impact), Corporatisation (Marketisation), Public nature, Cultural & spiritual legacy</p>	<p>Overall: Liability, Distinction, Standardisation and Accountability, Reputation, Accreditation</p> <p>China: Distinction, Reputation, Standardisation and Liability, Accountability, Impact</p> <p>UK: Distinction and Accountability, Standardisation, Reputation, Accreditation</p>	<p>China: International impact (within Impact), ESG (within Standardisation), Athena Swan (within Accreditation)</p> <p>UK: ISO (within Standardisation), EQUIS, AMBA and PRME (within Accreditation), Liability</p>
Integration of SR into HEI's role	<p>Student cultivation: Competitive individuals, Ethical & responsible people,</p> <p>Research activity: Research aim & objectives, Ethical concerns,</p> <p>External activity: Non-profit purposes, Social objectives</p>	<p>Overall: Ethical & responsible people, Social objectives, Competitive individuals, Non-profit purposes</p> <p>China: Ethical & responsible people, Competitive individuals, Social objectives (Socioeconomic development), Non-profit purposes</p> <p>UK: Global citizens, Ethical & responsible people, Research aim & objectives,</p>	<p>Overall: Ethical concerns, Research impact, Global citizens and Research aim & objectives</p> <p>China: Ethical concerns, Research aim & objectives</p> <p>UK: Competitive individuals and Ethical concerns, Non-profit purposes</p>	<p>Overall: Ethical & responsible people, Social objectives (Public value creation), Competitive individuals</p> <p>China: Competitive individuals and Ethical & responsible people, Social objectives</p> <p>UK: Ethical & responsible people, Global citizens, Social objectives (Public value creation)</p>	<p>Overall: Ethical concerns, Research impact, Global citizens and Research aim & objectives, Non-profit purposes</p> <p>China: Ethical concerns, Research aim & objectives, Non-profit purposes</p> <p>UK: Competitive individuals and Ethical concerns, Non-profit purposes, Research aim & objectives and Research impact</p>	<p>China: Global citizens, Research impact</p> <p>UK: N/A</p>

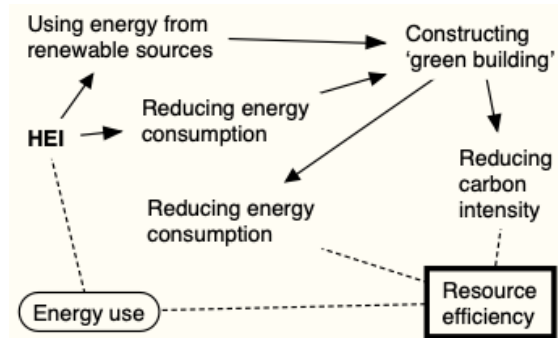
		Research impact and Social objectives				
Responsibility to academic staff	<p>Basic rights: Labour rights, Academic freedom, Income (Decent payment), Welfare</p> <p>Career progression: Career advancement, Staff development</p> <p>Educational administration: Communication</p>	<p>Overall: Welfare (Respect), Income (Decent payment), Staff development and Communication</p> <p>China: Welfare (Respect), Income (Decent payment)</p> <p>UK: Welfare, Communication, Income, and Staff development</p>	<p>Overall: Procedures, Academic freedom and Evaluation, Labour rights and Career advancement</p> <p>China: Procedures and Communication, Academic freedom, Labour rights, Career advancement, Staff development and Evaluation</p> <p>UK: Labour rights, Academic freedom and Career advancement</p>	<p>Overall: Welfare (Respect), Income (Decent payment), Communication</p> <p>China: Welfare (Respect), Income (Decent payment)</p> <p>UK: Welfare, Communication, Income</p>	<p>Overall: Procedures, Academic freedom, Labour rights and Evaluation, Career advancement, Staff development</p> <p>China: Communication, Academic freedom and Procedures, Labour rights, Career advancement, Staff development and Evaluation</p> <p>UK: Labour rights, Academic freedom and Career advancement, Staff development</p>	<p>China: Assurance (within Income)</p> <p>UK: Evaluation, Procedures</p>
Responsibility to students	<p>Basic rights: Welfare, Extracurricular life</p> <p>Learning & development: Quality education, Practical opportunities (Social activities)</p> <p>Career: Quality graduates, Alumni engagement</p>	<p>Overall: Welfare (Health & safety on campus) and Quality education (Learning experience)</p> <p>China: Quality education (Learning experience), Welfare (Health & Safety on campus), Planning & preparation</p> <p>UK: Welfare, Quality education</p>	<p>Overall: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities, Planning & preparation</p> <p>China: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities</p> <p>UK: Quality graduates and Alumni engagement, Practical opportunities, Extracurricular life</p>	<p>Overall: Quality education (Learning experience), Welfare (Health & safety on campus)</p> <p>China: Quality education (Learning experience), Welfare (Health & safety on campus), Planning & preparation</p> <p>UK: Welfare, Quality education (Teaching quality)</p>	<p>Overall: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities, Planning & preparation</p> <p>China: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities</p> <p>UK: Quality graduates and Alumni engagement, Practical opportunities, Extracurricular life</p>	<p>China: Research activities (within Practical opportunities)</p> <p>UK: Planning & preparation, Internships & placements and Entrepreneurship (within Practical opportunities)</p>
Responsibility to external stakeholders	Expectations of government (Socioeconomic development), Communication & engagement with the public	N/A			<p>China: N/A</p> <p>UK: Development of education and Regional brand (within Expectations of government)</p>	

Theme	Topics that were mentioned by participants of HEIs in different positions	Topics that were mentioned by most participants (highest to lowest)	Topics that were mentioned by least participants (highest to lowest)	Topics that were mostly frequently mentioned (highest to lowest)	Topics that were least frequently mentioned (highest to lowest)	Non-applicable (sub-)topic
Responsibility to academic staff	<p>Basic rights: Labour rights, Academic freedom, Income, Welfare (Respect, Inclusion, Occupational health & safety)</p> <p>Career progression: Career advancement, Staff development, Evaluation</p> <p>Educational administration: Communication</p>	<p>Overall: Welfare (Respect), Income (Decent payment)</p> <p>PE: Welfare (Respect), Income (Decent payment), Staff development and Communication</p> <p>AC: Welfare (Work-life balance), Communication, Income (Decent payment)</p>	<p>Overall: Procedures, Academic freedom and Evaluation, Labour rights and Career advancement, Staff development and Communication</p> <p>PE: Academic freedom, Evaluation and Procedures, Labour rights and Career advancement</p> <p>AC: Labour rights, Academic freedom, Career advancement, Staff development, Evaluation and Communication</p>	<p>Overall: Welfare (Respect), Income (Decent payment), Communication</p> <p>PE: Welfare (Respect), Income (Decent payment), Communication</p> <p>AC: Welfare (Work-life balance), Income (Decent payment)</p>	<p>Overall: Procedures, Academic freedom, Labour rights and Evaluation, Career advancement, Staff development</p> <p>PE: Academic freedom and Evaluation, Labour rights, and Procedures, Career advancement and Procedures, Staff development</p> <p>AC: Labour rights and Academic freedom, Career advancement, Staff development, Evaluation and Communication</p>	<p>PE: Work-life (within Welfare)</p> <p>AC: Procedures</p>
Responsibility to students	<p>Basic rights: Welfare,</p> <p>Learning & development: Quality education, Practical opportunities (Internships & placements)</p> <p>Career: Planning & preparations, Alumni engagement</p>	<p>Overall: Welfare (Health & safety on campus), Quality education (Learning experience)</p> <p>EDU (PE+AC): Welfare, Quality education, Practical opportunities, Planning & preparation</p> <p>Students: Quality education (Learning experience), Welfare (Health & Safety on campus), Planning & preparation, Extracurricular life</p>	<p>Overall: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities, Planning & preparation</p> <p>EDU: Planning & preparation and Alumni engagement,</p> <p>Students: Quality graduates</p> <p>Students: Alumni engagement, Practical opportunities</p>	<p>Overall: Quality education (Learning experience), Welfare (Health & safety on campus)</p> <p>EDU: Welfare and Quality education</p> <p>Students: Quality education (Learning experience), Welfare (Health & safety on campus), Planning & preparation</p>	<p>Overall: Alumni engagement, Quality graduates, Extracurricular life, Practical opportunities, Planning & preparation</p> <p>EDU: Planning & preparation and Alumni engagement, Quality graduates, Practical opportunities</p> <p>Students: Alumni engagement, Practical opportunities, Extracurricular life</p>	<p>EDU: Extracurricular life, Entrepreneurship (within Practical opportunities)</p> <p>Students: Social activities and Research activities (within Practical opportunities), Quality graduates</p>

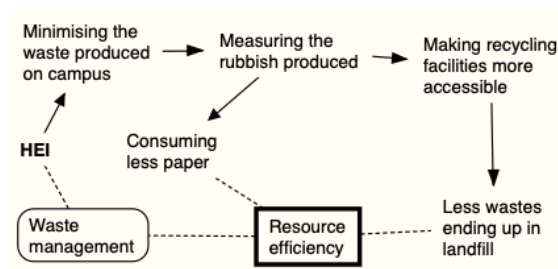
Appendix I The maps of analysing RQ3's topics mentioned by fewer participants

Resource efficiency –

Optimising energy use

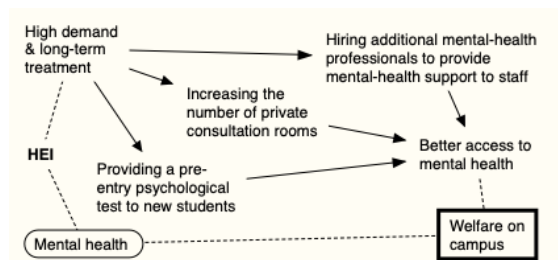


Minimising the waste produced

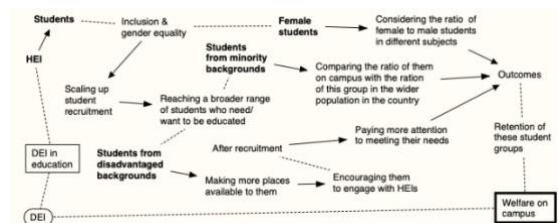


Welfare on campus –

HEI's improvement of mental health services for staff and students

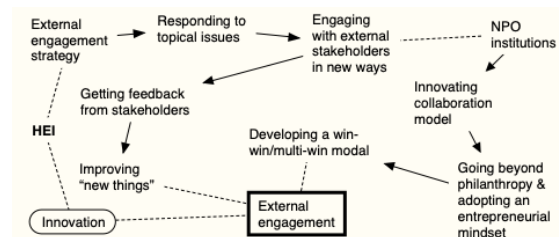


HEI's improvement of DEI in education

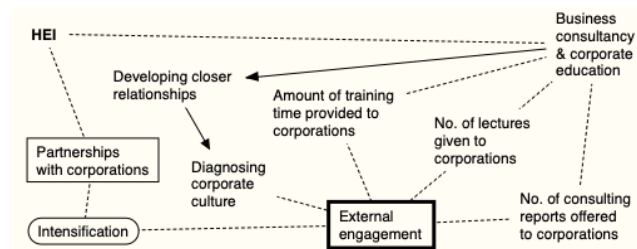


External engagement –

HEI's innovation in external engagement

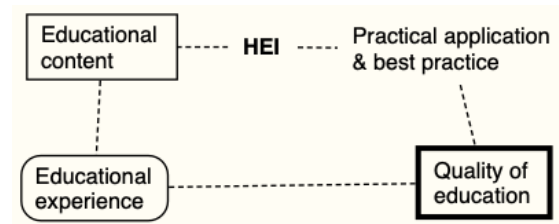


HEI's intensification of corporate partnerships

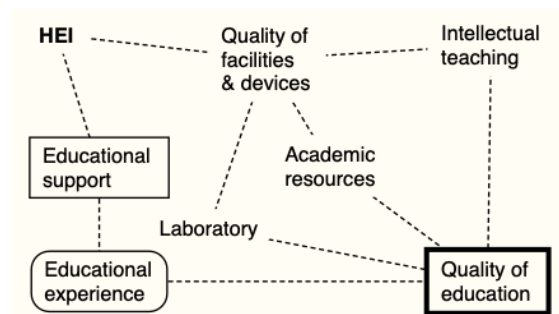


Quality of education –

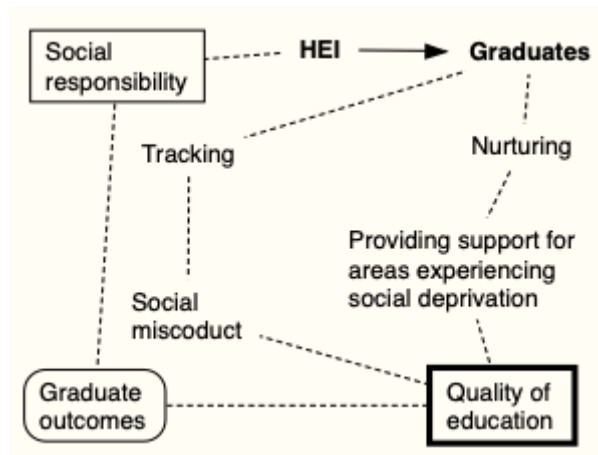
Improving educational content



Improving educational support

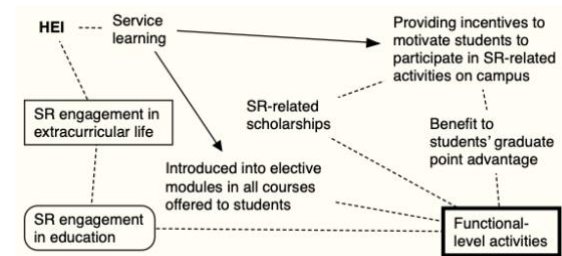


Improving graduates' social responsibility



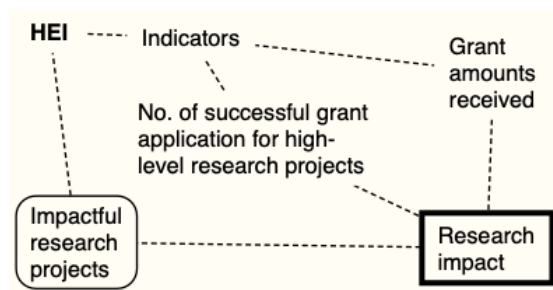
Functional-level SR-led activities –

HEI's SR engagement in students' extracurricular life

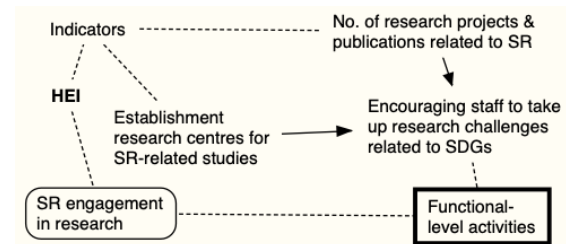


Research impact –

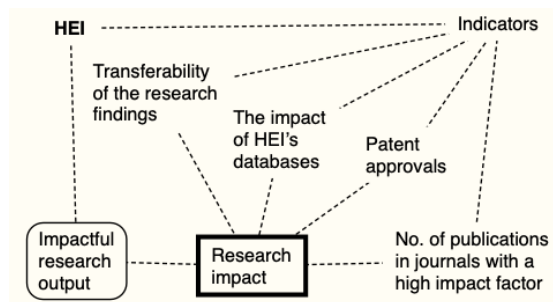
Developing impactful research projects



HEI's SR engagement in research

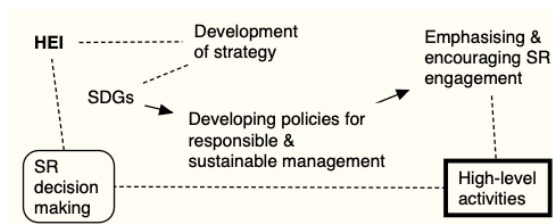


Ensuring impactful research output



High-level SR-led activities –

HEI's SR engagement: decision making



Appendix J Summary of table of statistics for (sub-)themes and (sub-)codes: CSR performance improvement in the HE sector

Theme	Topics that were mentioned by participants of HEIs in both countries	Topics that were mostly frequently mentioned (highest to lowest)	Topics that were least frequently mentioned (highest to lowest)	Non-applicable (sub-)topic
Improving environmental impact	Resource efficiency: Energy use	Overall (UK-data-based): Climate solutions, Climate targets	Overall (UK-data-based): Energy use and Waste management	China: Climate targets, Climate solutions, Waste management UK: N/A
Improving stakeholder management	Welfare on campus: DEI External engagement: Innovation, Intensification (Partnerships with NPOs)	Overall: DEI (in the workplace), Intensification (Partnerships with NPOs) China: DEI (in the workplace), Intensification (Partnerships with NPOs) UK: DEI, Intensification (Partnerships with NPOs)	Overall: Mental health and Innovation (of external engagement) China: Innovation (of external engagement) and Mental health UK: Innovation (of external engagement)	China: N/A UK: Mental health, Partnerships with corporations (within Intensification of external engagement)
Improving functional roles	Quality of education: Educational experience (Educational content) Research impact: Impactful research projects	Overall (China-data-based): Graduate outcomes (Employment), Educational experience (Educators)	Overall (China-data-based): Impactful research output, Impactful research projects	China: N/A UK: Educators (within Educational experience), Graduate outcomes, Impactful research output
Developing SR leadership	High-level activities: SR decision making, SR administration Functional-level activities: SR engagement in education SR engagement in research	Overall: SR engagement in education (in class) China: SR engagement in education, SR administration UK: SR engagement in education (in class)	Overall: SR engagement in research, SR decision making, SR administration China: SR decision making and SR engagement in research UK: SR administration, SR engagement in research, SR decision making	N/A

Appendix K Application of Mitchell et al.'s (1997) classification model in currently implemented CSR activities to address the needs of multiple stakeholders in the HE sector

Target stakeholder group	Specified stakeholders (in bold); sub-themes and (-) relevant (sub-)codes (in square bracket); and content of (sub-)codes (neither in bold nor in square bracket)
<p>Definitive (with power, legitimacy, urgency)</p>	<p>Academic staff with pressing needs in relation to their HEI</p> <ul style="list-style-type: none"> • Ensuring staff can live on the income they earn [acting as a responsible employer – pay rises] • Organising fundraising activities to help staff who have a critical illness [acting as a responsible employer – health support] • Allowing pregnant staff not to keep to office hours when not teaching a class [acting as a responsible employer – respect] <p>Students with pressing needs in relation to their HEI</p> <ul style="list-style-type: none"> • Well-being services related to Covid-19: providing students with quarantine facilities, online counselling and psychological services, and establishing vaccination points for students [acting as a responsible student supporter – health support] • Support with migration (e.g. entry, visas) for international students [acting as a responsible student supporter – living support] • Providing daily essentials for students during the pandemic [acting as a responsible student supporter – living support] • Making work–study jobs available for students from low-income backgrounds [acting as a responsible student supporter – living support] • Providing job-seeking assistance to senior students who are in urgent need of employment [acting as a responsible student supporter – employment opportunities]
<p>Dominant (with power and legitimacy, but lacking urgency)</p>	<p>Academic staff with no pressing need from their HEI</p> <ul style="list-style-type: none"> • Providing staff with an annual health check [acting as a responsible employer – health support] • Organising social activities for staff well-being [acting as a responsible employer – health support] • Considering (the degree of) internationalisation [acting as a responsible employer – respect] • Attempting to achieve a gender balance in the workforce [acting as a responsible employer – respect] • Developing research networks of staff with policymakers, officials and community groups [acting as a responsible employer – research support] • Making funding available for academics' research [acting as a responsible employer – research support] • Adopting the blended model to assist staff to provide a better learning experience [acting as a responsible employer – teaching support] • Offering financial support for further study [acting as a responsible employer – development support] • Hosting academic workshops and conferences where staff can exchange knowledge [acting as a responsible employer – development support] • Providing opportunities for staff to reflect on their work [acting as a responsible employer – development support] • Considering publication at a wider variety of levels as part of employee evaluations [acting as a responsible employer – improving evaluation] <p>Students with no pressing need from their HEI</p> <ul style="list-style-type: none"> • Ensuring enough counsellors are on duty [acting as a responsible student supporter – health support] • Developing programmes to reduce stress [acting as a responsible student supporter – health support] • Providing activities related to mental health [acting as a responsible student supporter – health support] • Establishing student roles to keep track of students' mental health [acting as a responsible student supporter – health support] • Providing guidelines on navigating campus life [acting as a responsible student supporter – living support] • Renovating student accommodation [acting as a responsible student supporter – living support] • Guaranteeing reasonable tuition fees [acting as a responsible student supporter – living support] • Understanding students' opinions of the canteen [acting as a responsible student supporter – living support] • Providing students with legal services [acting as a responsible student supporter – living support] • Promoting understanding of gender diversity and cultural diversity on campus [acting as a responsible student supporter – respect]

	<ul style="list-style-type: none"> • Appointing student representatives to safeguard the welfare of international students and LGBTQ+ students [acting as a responsible student supporter – respect] • Constructing a new library with more seats and better study spaces [acting as a responsible student supporter – improving the learning environment] • Providing language learning opportunities [acting as a responsible student supporter – skills development] • Providing vocational skills training [acting as a responsible student supporter – skills development] • Providing practical activities to support students’ volunteering, research, entrepreneurship, and internships and placements [acting as a responsible student supporter – providing practical opportunities] • Providing guest lectures (e.g. inviting entrepreneurs to share experiences of starting a business and inviting HR staff to provide information to help students write effective job applications) [acting as a responsible student supporter – career-related preparation assistance] • Providing another major (i.e. a joint degree) also suited to job requirements and relevant specialities [acting as a responsible student supporter – career-related preparation assistance] • Assisting students with choosing a future career [acting as a responsible student supporter – career-related preparation assistance] • Improving students’ CVs [acting as a responsible student supporter – career-related preparation assistance] • Providing certificate courses in addition to degree courses [acting as a responsible student supporter – career-related preparation assistance] • Providing international students with information about job requirements in the cities the HEIs are in [acting as a responsible student supporter – career-related preparation assistance] • Holding job fairs [acting as a responsible student supporter – employment opportunities] • Providing opportunities for internal references [acting as a responsible student supporter – employment opportunities] <p>Government</p> <ul style="list-style-type: none"> • Providing consultancy services to shape policy on education [taking on civic responsibility – strategic educational support] • Providing socioeconomic consultancy services to boost economic growth and development [taking on civic responsibility – improving industry] • Cultivating students to become competitive in the labour market [taking on civic responsibility – improving industry] • Providing disadvantaged people with job opportunities to reduce unemployment [taking on civic responsibility – improving industry] • Working with city council to develop a ‘100% climate neutral area’ for a district [taking on civic responsibility – tech support] <p>Enterprises</p> <ul style="list-style-type: none"> • Providing business consultancy services (e.g. on CSR) [taking on civic responsibility – improving business practices] • Launching projects in collaboration with alumni start-ups [acting as a responsible student supporter – support for alumni]
<p>Dependent (with legitimacy and urgency, but lacking power)</p>	<p>Disadvantaged groups facing social inequalities</p> <ul style="list-style-type: none"> • Encouraging researchers to set research aims related to (the welfare of) disadvantaged groups or socially deprived areas: globally and in low- and middle-income countries [undertaking responsible research – responsible research content] • Providing educational opportunities to disadvantaged groups in society (e.g. minorities and migrants) [supporting community development – learning support] • Providing healthcare to disadvantaged groups (e.g. older people, disabled people and people living in disadvantaged areas) in the community [supporting community development – health support] • Supporting development of education in underdeveloped areas [taking on civic responsibility – supporting development of education] • Provide an educator community for teachers in pre-school settings, primary and secondary schools in underdeveloped areas [taking on civic responsibility – training the educator community] • Understanding the difficulties faced by people in underdeveloped areas and identifying relevant economic solutions [taking on civic responsibility – reducing poverty] • Procuring (or providing staff with funding to buy) products from poverty-stricken areas [demonstrating philanthropic behaviour – charitable procurement] • Making donations to people in poverty [demonstrating philanthropic behaviour – fundraising and donations] <p>People affected by other major social concerns at the time</p> <ul style="list-style-type: none"> • Engaging with issues that society is concerned about, e.g. racial discrimination (Black Lives Matter) [taking on civic responsibility – ethical development] • Improving medical treatment in the pandemic: conducting research on Covid-19, building testing facilities for Covid-19, understanding the impact of Covid-19 on vulnerable groups in the context of recovery, and allocating medical staff to geographical areas where Covid-19 is having more impact [taking on civic responsibility – health support] • Making donations to people suffering from Covid-19 [demonstrating philanthropic behaviour – fundraising and donations]

<p>Discretionary (with legitimacy, but lacking power or urgency)</p>	<p>Research participants</p> <ul style="list-style-type: none"> • Setting up an ethics committee to supervise research practices involving human subjects, protecting and retaining relevant data, and (most importantly) protecting children and vulnerable groups as research participants [undertaking responsible research – ethical supervision] <p>Alumni with no power over their HEIs</p> <ul style="list-style-type: none"> • Helping alumni to develop local networks [acting as a responsible student supporter – supporting alumni] <p>Local residents</p> <ul style="list-style-type: none"> • Providing local people with easier access to HE [taking on civic responsibility – supporting local education] <p>Educational institutions at lower levels</p> <ul style="list-style-type: none"> • Improving basic education in the local area: mentoring local schoolchildren, giving them more opportunities to take part in extracurricular activities and to access learning experiences of HE [taking on civic responsibility – supporting local education] • Offering guidance to schools on reforming and developing basic education [taking on civic responsibility – strategic educational support] <p>Local event organisers</p> <ul style="list-style-type: none"> • Providing specific professional assistance for local events and co-launching local events (e.g. providing translators for an expo) [taking on civic responsibility – assistance for local events] <p>Wider range of student groups in HE (in addition to own students)</p> <ul style="list-style-type: none"> • Widening online access to HE [taking on civic responsibility – globalisation of education] • Providing students with more opportunities to study abroad [taking on civic responsibility – globalisation of education] <p>Charities</p> <ul style="list-style-type: none"> • Taking chances to work with charities [demonstrating philanthropic behaviour – fundraising and donations]
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Appendix L Engagement of Universal Declaration of Human Rights with the aspects covered in CSR in the HE sector from stakeholders' perspective

Universal Declaration of Human Rights	Themes of RQ2 and (-) (sub-)codes (in square bracket); and content of data (not in square bracket)
Article 2 (Freedom from discrimination)	<ul style="list-style-type: none"> Respect for (gender) equality and diversity (being free from gender-based or racial discrimination) in the workplace and on campus [responsibility to academic staff – respect, inclusion; responsibility to students – campus culture]
Article 3 (Right to life)	<ul style="list-style-type: none"> Safely constructed buildings and facilities [responsibility to academic staff – occupational health and safety] Being aware of external visitors on campus to reduce the likelihood of assault and harassment (towards students) [responsibility to students – health and safety on campus]
Article 8 (Right to justice)	<ul style="list-style-type: none"> Promoting laws that protect against violence [responsibility to students – health and safety on campus]
Article 12 (Right to privacy)	<ul style="list-style-type: none"> Protecting students from cyberviolence by tracing sources of negative information and deleting that information [responsibility to students – health and safety on campus]
Article 19 (Freedom of expression)	<ul style="list-style-type: none"> Protecting the freedom of staff to express themselves in the workplace [responsibility to academic staff – labour rights]
Article 23 (Right to work)	<ul style="list-style-type: none"> Making decisions about staff (in the workplace) that can be justified by relevant content in their employee contracts [responsibility to academic staff – labour rights] Not interfering in teaching and research work [responsibility to academic staff – labour rights] Protecting the freedom of staff to join a trade union [responsibility to academic staff – labour rights] Providing a basic salary with payment protection [responsibility to academic staff – decent payment] Providing equal pay for equal work [responsibility to academic staff – decent payment] Providing a developed compensation system [responsibility to academic staff – decent payment] Protecting pensions and providing insurance [responsibility to academic staff – income assurance] Showing employee recognition and respecting their privacy in the workplace [responsibility to academic staff – respect] Providing staff with opportunities to share their professional experiences, take part in learning and training, and build networks [responsibility to academic staff – staff development] Providing academic staff at different levels with guidance on how to get promoted in their teaching and research role [responsibility to academic staff – career advancement] Setting fair rules for getting promoted [responsibility to academic staff – career advancement] Providing academic staff with opportunities to perform non-academic roles [responsibility to academic staff – career advancement] Improving evaluation of academic staff: reducing quantitative assessment, making student assessment fairer, emphasising peer assessment and qualitative assessment, and extending the period of assessment [responsibility to academic staff – evaluation]
Article 24 (Right to leisure and rest)	<ul style="list-style-type: none"> Managing the boundary between work and life [responsibility to academic staff – work–life balance]
Article 25 (Right to an adequate standard of living)	<ul style="list-style-type: none"> Providing staff with access to a counselling service [responsibility to academic staff – occupational health and safety] Incentivising staff to take part in physical activity [responsibility to academic staff – occupational health and safety] Increasing the number of psychology tutors [responsibility to students – health and safety on campus]

	<ul style="list-style-type: none"> • Enabling students to have access to the right people to talk to (for mental health) [responsibility to students – health and safety on campus] • Promoting mental-health knowledge to students [responsibility to students – health and safety on campus] • Facilitate the process of finding rented accommodation and renovating it if needed [responsibility to students – extracurricular life]
Article 26 (Right to education)	<ul style="list-style-type: none"> • Providing more educational opportunities [responsibility to external stakeholders – development of education] • Enabling students to develop competencies through their learning: rational thinking; morality and ethics; practical skills; creativity and innovation; and professionalism [responsibility to students – learning experience] • Providing students with opportunities to get involved in social activities, internships and placements, research activities, and entrepreneurship [responsibility to students – practical opportunities]
Article 27 (Right to take part in cultural, artistic and scientific life)	<ul style="list-style-type: none"> • Providing staff with opportunities to take part in activities outside work and have a better experience on campus [responsibility to academic staff – work–life balance] • Enabling students to adapt to life in their new town, city or country [responsibility to students – extracurricular life] • Arranging extracurricular activities that do not clash with students’ academic schedule [responsibility to students – extracurricular life]

Appendix M Suggestions on improving performance of CSR in the HE sector and related contributions to SDGs

SDG	Themes of RQ3 and (-) (sub-)codes (in square bracket); and the relevant content in the methodology of THE Impact Rankings (not in square bracket)
SDG 3 – Good health and well-being (mental health)	<p>Collaborations and health services</p> <ul style="list-style-type: none"> • Access to mental health support for students and staff: considering the number of private consultation rooms, and hiring additional mental-health professionals to support staff [stakeholder management – mental health]
SDG 5 – Gender equality	<p>Student access</p> <ul style="list-style-type: none"> • Tracking completion rates for female students: monitoring the retention of female students [stakeholder management – DEI in education] <p>Women’s progress</p> <ul style="list-style-type: none"> • Accessible childcare facilities for staff: making more effort to provide gender-based care [stakeholder management – DEI in the workforce]
SDG 7 – Affordable and clean energy	<p>Using affordable and clean energy</p> <ul style="list-style-type: none"> • Process for carbon management and reducing carbon dioxide emissions: constructing ‘green buildings’ [environmental impact – energy use]
SDG 8 – Decent work and economic growth	<p>Employment practices</p> <ul style="list-style-type: none"> • Tracing the gender pay gap: addressing the gender pay gap to improve equality [stakeholder management – DEI in the workforce]

<p>SDG 9 – Industry, innovation and infrastructure</p>	<p>Patents citing university research</p> <ul style="list-style-type: none"> • Measuring patent approvals [functional roles – research impact]
<p>SDG 10 – Reduced inequalities</p>	<p>Measures against discrimination</p> <ul style="list-style-type: none"> • Track admission rates of under-represented groups: comparing the ratio of minorities on campus with the ratio of that group in the wider population of the relevant country [stakeholder management – DEI in education] • Planned action to recruit staff from under-represented groups: recruiting (more) people from minority backgrounds [stakeholder management – DEI in the workforce]
<p>SDG 11 – Sustainable cities and communities</p>	<p>Sustainable practices</p> <ul style="list-style-type: none"> • Promote sustainable commuting: introducing incentives to encourage staff to adopt more sustainable modes of travel and giving students incentives to adopt eco-conscious travel behaviour [environmental impact – climate solutions] • Encourage remote learning: making remote learning more attractive [environmental impact – climate solutions]
<p>SDG 12 – Responsible consumption and production</p>	<p>Proportion of recycled waste</p> <ul style="list-style-type: none"> • Measure the amount of waste generated and recycled: measuring the amount of rubbish produced (especially paper) and making recycling facilities more accessible to reduce the amount of waste that ends up in landfill [environmental impact – waste management]
<p>SDG 13 – Climate action</p>	<p>Commitment to a carbon-neutral university</p> <ul style="list-style-type: none"> • Commitment to carbon neutrality: setting a target for achieving net zero by measuring and reducing scope 1, 2, and 3 emissions, reducing greenhouse gas emissions before achieving carbon neutrality [environmental impact – climate targets]

<p>SDG 17 – Partnerships for the goals</p>	<p>Research</p> <ul style="list-style-type: none"> • Number of publications that relate to the 17 SDGs: increasing the number of publications related to social responsibility [SR leadership – SR engagement in research] <p>Education for SDGs</p> <ul style="list-style-type: none"> • Dedicated courses (full degrees or elective modules) that address sustainability and the SDGs: first, advocating for social responsibility in faculties to raise awareness among teaching staff, and providing training so they can develop the capabilities and skills they need to integrate social responsibility into their classes. Next, contextualising social responsibility in class and establishing related graduate qualities. Then, considering the indicators for NPO-related cases, SR-related courses offered (e.g. business ethics, sustainability), the corresponding teaching time and intended learning objectives of these classes, and the number of student dissertations related to responsible or sustainable development. Engaging community services with students’ learning by introducing it into elective modules in all courses offered to students, and motivating students to participate by providing them with more graduate points and offering scholarships linked to social responsibility [SR leadership – SR engagement in education]
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Appendix N Summary of engagement with the relevant literature for discussing findings

Engagement	References
Providing proof for others' studies	<ul style="list-style-type: none"> • Reflecting Commission of the European Communities (2011)' definition about CSR; • Reflecting Ianos et al.'s (2009) conclusion of respect for environment based on Sonnenfeld's (1972) framework; • Reflecting Peloza's (2005) finding of the delicate promotion of the firms' CSR activities as a concern about strategy and motivates behind reputation management and CSR; • Reflecting the neoliberalist view of "all social interactions are contextualised as part of a market" (Brown, 2015; Friedman, 1962; Harvey, 2005); • Reflecting the identification of American universities' behaviour of looking to other sources for additional funding caused by a reduction of public subsidies (Rhoades and Slaughter, 1997; Thelin, 2011); • Reflecting Taylor's (2017, p.117) statement of shared governance in university administration for impeding the top-down management; • Reflecting Brennan's (2008, p.389) debate of the academic role as 'taking truth to power', with an emphasis on the importance of 'autonomy' in the functions of the academy; • Reflecting Preston and Post's (1975, 1981) proposal of "the principle of public responsibility"; • Reflecting the recognition of HE benefiting the individuals and the larger society simultaneously identified by Tilak (2008, p.450); • Reflecting the suggestion of using social network site to connect alumni and expand their network (Coughlan et al., 2012) • Reflecting humans' capability on awareness of values, faith, and perception (Quappe and Cantatore, 1991) • Reflecting HE as a way of contributing to social justice in constructing the 'just and stable' society stated by Brennan (2008, p.389) • Reflecting Murphy's (2005, p.233) argument of "corporate culture is explicitly linked with ethics, in the sense that cohesive and strong cultures tend to reinforce ethical behaviour" • Reflecting Crane et al.'s (2014, p.20) statement that Confucianism has been argued to keep with substantial elements of CSR in its cultural legacy in China • Reflecting the core areas wherein the HE stakeholders' focus of quality assurance in defining quality of HE around ethics and moral values from professional accrediting bodies' perspective stated by Prisacariu and Shah (2016, p160).
Providing suggestion for others' studies	<ul style="list-style-type: none"> • Suggesting the building of CSR in not only business but also its employees as the 'new DNA' (Visser, 2010, 2016); • Giving suggestion to avoid the existence of 'top-down management' concerned by Taylor's (2017, p.115), with a reflection of Thelin's (2011) introduction of American universities' altered adaption of more collaborative approach from the more rigid management to partly respond to the academic community's concern on academic freedom in the late 19th century; • Suggesting alternative categorisation to avoid the problem in defining the social spaces impacted on – whether it is "local, national, regional, global" identified by Brennan (2008, p.387); • Providing suggestions of developing human capital for achieving initial 'formation' of the graduate workforce (Brennan, 2008, p.388); • Suggesting the consideration of research ethics and teaching quality in Prisacariu and Shah's (2016, p.161) argument of defining the quality of HE around ethics and moral values through academics' responsibility for fostering and promoting student learning by undertaking research and teaching with high ethical standards.
Providing application for others' studies	<ul style="list-style-type: none"> • Applying Mitchell et al.'s (1997) categorisation of stakeholders in the HE sector
Providing opposite opinion for others' studies	<ul style="list-style-type: none"> • Arguing about Peloza's (2005) finding of more emphasis of the delicate promotion of the firms' CSR activities placed on managing potential damage from promotional activities than on securing incremental benefits; • Arguing about Taylor's (2017) critique of the perspectives on the university as a business, with a reflection of economic responsibilities in Carroll's (1991) CSR pyramid in the HE sector; • Arguing about Wang and Juslin's (2009) division of the period of China's CSR strongly affected by the Confucian values into the time up to 1949.
Providing justification for others' studies	<ul style="list-style-type: none"> • Justifying the phenomenon of a close tie between several world-leading and prestigious academic activities and the historical and cultural backgrounds of cities concluded by Chow and Loo (2015, p.124);

	<ul style="list-style-type: none"> • Justifying Mitchell Foucault’s “disciplinary power” (Ellis, 2020, p49) in the HE sector • Justifying expert power within French and Raven’s (1959) model at the organisational level • Justifying the role for HE as ‘an agent in the transmission of social change sponsored by others’ emphasised in constructing ‘knowledge society’ (Brennan, 2008, p.387).
Providing elaboration for others’ studies	<ul style="list-style-type: none"> • Elaborating the concept of university social responsibility (USR) defined by Giuffré and Ratto (2014); • Elaborating the meaning of “creation of a more productive workforce and a successful national economy” as contribution of HE in ‘knowledge society’ stated by Brennan (2008, p. 383); • Elaborating HEIs as “places of high ethical and moral standards” concluded by Prisacariu and Shah (2016, p.161); • Elaborating the ‘publicness’ of HE stated by Brennan’s (2008, p.383)
Providing support for argument in others’ studies	<ul style="list-style-type: none"> • Supporting the point of public good in the argument of “‘who benefits’ from higher education” (“‘who should pay’ for higher education”) in the ‘knowledge society’ concerned by Brennan (2008, p.383); • Supporting the point of “a function of the relevance of the knowledge and skills transmitted by higher education” in constructing ‘knowledge society’ (Brennan, 2008, p.388).
Providing enrichment for others’ studies	<ul style="list-style-type: none"> • Enriching Brennan’s (2008, p.384) statement of the tacit expectation for HEIs on serving the knowledge system and the public good; • Supplying Davis’s (1960) address of using power responsibly as social institution.