

Principles of GRC Automation in **Education**

Camms.

Software to Change Tomorrow.



Intro

Not only is the education sector a highly regulated industry that is subject to regular audits & inspections, but they also deal with some of the most vulnerable people in society, making risk management, compliance and incident reporting a top priority. Increased pressure on the sector to offer transparency into these processes to provide assurance for parents, students, governing bodies, and regulators has seen many organizations going through a digital transformation exercise as they look to formalize and digitize their processes.

Organizations in the education sector are introducing software solutions to manage their Governance, Risk & Compliance (GRC) requirements to modernize and streamline their processes, bringing them into the 21st century. These systems provide structure and mitigate ambiguity and can be configured to meet the specific requirements of the sector. They reduce admin, enabling schools to run a tight ship with a complete audit trail of events across risk exposure, areas of non-compliance, incidents, and audits, making it easy to spot problems and rectify them.

In this eBook we explore:

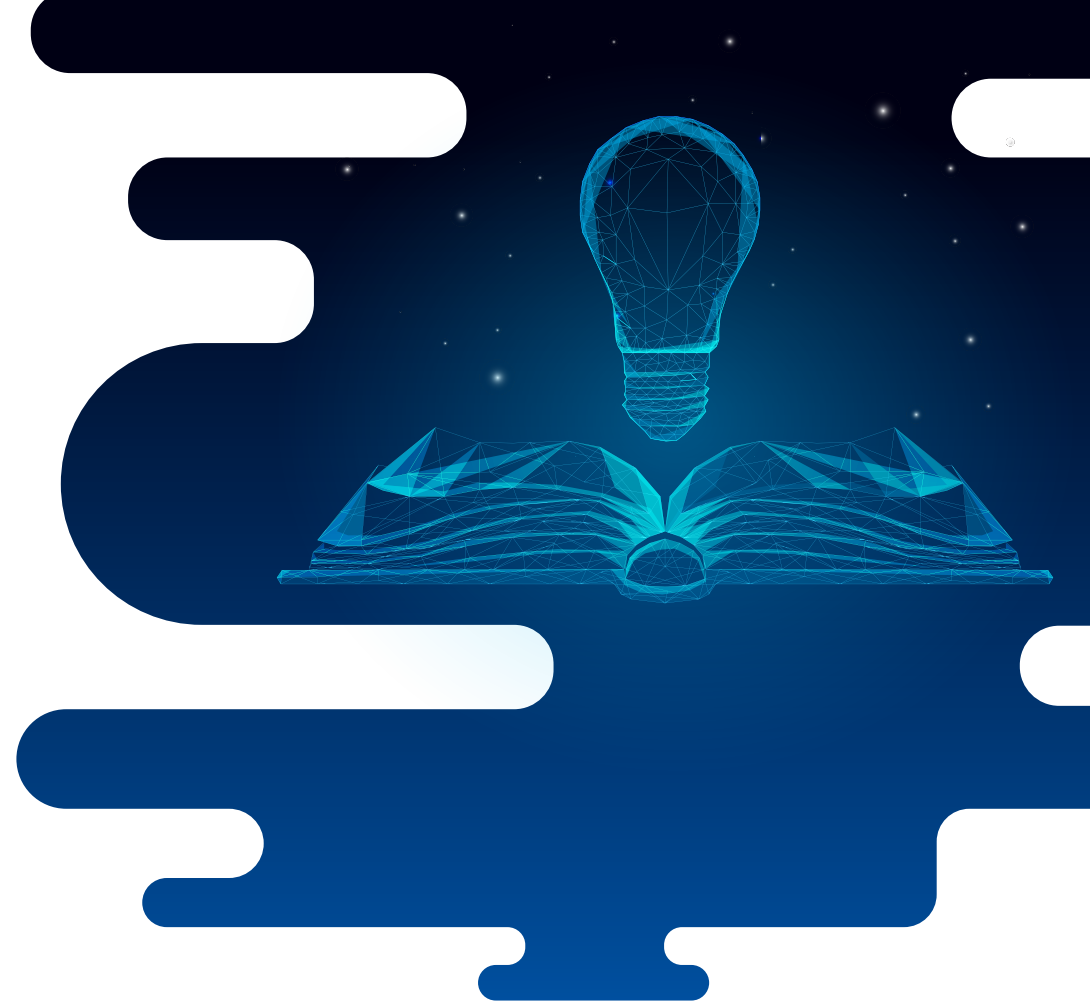
-  The risk and compliance landscape in the global education sector.
-  The challenges of operating with a manual risk & compliance program.
-  How the latest technology is supporting the education sector to streamline processes.
-  How strategy tools can support educational institutions to achieve their goals and objectives.
-  Real-life examples of how our clients in the education sector are using the Camms software to improve their Governance, Risk & Compliance programs and incident reporting procedures.



What Has Driven the Need for Change in the Education Sector?

Before we delve into the key pain points felt by the education sector let's explore the reasons behind this growing need for change. Snowstorms had the monopoly on school closures before an unprecedented event dealt an indiscriminate blow to the education sector affecting every school, college, and university. In March 2020, the COVID-19 pandemic swept across the globe forcing these institutions to lock their doors for extended periods amid draconian lockdown restrictions. Take schools for example: with a staggering [1.53 billion learners](#) out of school and 184 country-wide school closures, it impacted 87.6% of the world's total enrolled learners.

These widespread and prolonged closures forced lecturers, teachers, and parents to direct educational activities remotely via digital devices or home-schooling resources. This sudden shift to online learning, increased the pressure on schools, colleges, and universities to implement the latest technology and provide best-in-class facilities for distanced learning. But they now had to do it overnight, exposing them to challenges from a governance, risk, and compliance (GRC) perspective – from the dynamic regulatory landscape to the proliferation of pandemic-fuelled cyber-attacks. Unfortunately, their ability to overcome these hurdles was also hamstrung by the pandemic, with departments suddenly siloed by closures and teams unable to prioritize GRC requirements.



Higher educational institutions were blindsided by the pandemic from more than one angle. Lockdowns also restricted the number of students enrolling at colleges and universities. In the US for example, [undergraduate college enrolment declined nearly 5%](#) from spring 2020 to spring 2021, according to data from the National Student Clearinghouse Research Centre – that amounts to 727,000 fewer students. The ripple effect of waning enrolment continues to put a strain on higher education budgets as campus leaders face up to reduced income from tuition fees.

This need to compete for and retain a shrinking pool of students is forcing colleges and universities to innovate at a rapid pace – from using analytics to target prospects more effectively to pivoting away from traditional learning models – perpetuating the GRC challenges that arise when technology is adopted without a robust strategy in place.

These pandemic-induced developments haven't suddenly prompted the start of a GRC wrestling match for educational institutions – they have been grappling with it for years. The vulnerability of students and the value attributed to education have exposed the sector to a raft of dynamic regulations and legislation over time that aim to protect students and deliver a high standard of learning.

Managing risk and achieving compliance are critical for the education sector to protect students, secure funding and keep pace with modern protocols. However, comprehensive risk and compliance programs that satisfy GRC requirements can be resource heavy and difficult to implement and maintain – unless you have the right tools.

To successfully navigate the complexities of the education sector, and deliver on key goals and objectives, educational institutions must establish a strategy that dovetails with their GRC requirements – and follow a structured process to ensure success.



How Legislation Varies Across Different Countries and Institutions?

Governments typically establish the overall framework that underpins their education system and defines its preferred operating model. They provide direction on how educational organizations must be run, including:



Let's take a quick trip to explore the legislation that governs the education sector in different regions and the government bodies that oversee it:

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UK

Schools

The government's Department for Education provides statutory guidance for schools and local authorities in the UK. These provisions are comprehensive and include admissions, assessment, curriculum, safeguarding, and staff employment.

The Office for Standards in Education, Children's Services and Skills (Ofsted) is a non-ministerial department of the UK government, reporting to Parliament. Ofsted is responsible for inspecting services that provide education and skills for learners of all ages, including state schools.

Higher Education

The Office for Students (OfS) is a non-departmental public body of the Department for Education that operates as the regulator and competition authority for the higher education sector in England. According to the OfS, its

“ regulatory framework defines the ‘sector-recognized standards’ that have been adopted in relation to those conditions of registration that relate in whole or in part to the standards applied to higher education. ”

The Higher Education and Research Act 2017 – which establishes the OfS and gives it responsibilities for regulating the sector – was enacted into law to create a new regulatory framework for higher education, to increase competition and student choice, ensure students receive value for money and strengthen the research sector.

A large graphic on the left side of the page. It features a dark blue background with a white outline of the letters 'USA' stacked vertically. To the right of the letters is a stylized white hand with fingers pointing downwards. At the bottom left, there is a portion of the American flag with red and white stripes and a blue field with white stars.

USA

Schools

The Every Student Succeeds Act (ESSA) was signed by President Obama in 2015. This bipartisan measure is the primary law for K-12 public education in the US and holds schools accountable for how students learn and achieve. The ESSA gives individual states a central role in determining how schools account for student achievement – including the achievement of disadvantaged students.

Higher Education

The Higher Education Act (HEA) is a federal law that governs the administration of federal higher education programs. It aims to strengthen the educational resources available in colleges and universities in the US and to provide financial assistance for students. The act was first passed by Congress in 1965 to ensure every individual has access to higher education, regardless of their income or location. The HEA governs student-aid programs, federal aid to colleges, and oversight of teacher preparation programs. It is typically reauthorized by Congress every five years to encourage growth and change.



In 2021 the US Department of Education announced the establishment of an Office of Enforcement within Federal Student Aid – restoring an office that was first established in 2016. This aims to strengthen oversight of – and enforcement actions against – postsecondary schools that partake in the federal student loan, grant, and work-study programs.

Australia



Schools

The Australian Education Act 2013 outlines how government and non-government schools receive funding and how to spend the funding appropriately. The act sets out:

-  The rights and responsibilities of organizations in terms of receiving Australian Government funding for school education.
-  Broad compliance expectations, to ensure funding accountability

Higher Education




The Higher Education Support Act 2003 (HESA) is the main piece of legislation governing higher education in Australia. This governs funding for universities in Australia by determining the categories of providers eligible for public funding, establishing the basis for providing public funding, codifying the existing aims of universities, and introducing measures to strengthen Australia's knowledge base.

The Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act) established the Tertiary Education Quality and Standards Agency (TEQSA) in 2011 and a new national regulatory and quality assurance environment for Australian higher education. This created a national system of regulation to assure the quality of all higher education.

Europe



While the government of each European Union (EU) member state – of which there are 27 – is responsible for establishing the overall framework that shapes their education system, the Charter of Fundamental Rights of the European Union makes provisions for education. Article 14 (Right to Education) of the charter states:

-  Everyone has the right to education and to have access to vocational and continuing training
-  This right includes the possibility to receive free compulsory education
-  The freedom to found educational establishments with due respect for democratic principles and the right of parents to ensure the education and teaching of their children in conformity with their religious, philosophical and pedagogical convictions shall be respected, in accordance with the national laws governing the exercise of such freedom and right

In terms of higher education, the role of the EU is primarily to support and coordinate each state and its education policies. According to the EU:

“ the main objectives of Union action in the field of higher education include encouraging mobility of students and staff, fostering mutual recognition of diplomas and periods of study, and promoting cooperation between higher educational institutions. ”

Paying the Price for Non-compliance



In schools parents in England are being slapped with an increasing number of fines as schools try to clamp down on pupils being absent from school. The number of non-attendance fines issued decreased during the pandemic amid self-isolation rules and lockdowns. However, almost 1.8 million children regularly missed school in the first term of the 2021/2022 academic year, prompting strenuous action: [parents were fined a total of £3.7m for the school year \(up to June\)](#).

Of course, scoring highly on an Ofsted inspection is a key objective for most schools and forms part of their overall strategy. They want to score highly to satisfy parents & students and to avoid unwanted monitoring. In a recent 2021 report, 84% of parents said they found the Ofsted inspection report to be useful.

Universities and colleges regulator the OfS is preparing tough sanctions for higher educational institutions that offer “poor quality” courses. Under new proposals, the OfS will set thresholds for the number of students who drop out of courses, while ratings of university teaching will include a new “requires improvement” category together with gold, silver, and bronze ratings.

The OfS said it aims to stop students from receiving a:

“performance that is below our minimum expectations”, considering they “are likely to be paying substantial sums”.



USA

The Federal Trade Commission (FTC) is clamping down on for-profit schools by issuing new fines for colleges that mislead students about jobs and earnings prospects. In 2021, the agency sent notices to the 70 largest for-profit schools in the US under its Penalty Offense Authority. They outline practices the FTC deems unfair or deceptive, with violators liable to pay as much as \$43,792 per transgression.

In 2020, the University of California, Berkeley was hit with a nearly \$2.4 million fine and was ordered to be monitored for two years for violating the Clery Act – the federal law requiring colleges to share campus crime statistics. The US Department of Education charged Berkeley with the misclassification of 1,125 incidents, most of which concerned alcohol, drug and weapons violations. The university misreported them as campus policy violations, rather than those of the law. The large fine followed a historic \$4.5 million Clery penalty against Michigan State University in 2019.



Australia

In December 2021, the Federal Court of Australia issued a record penalty of AUD 153 million to the Australian Institute of Professional Education Pty Ltd (AIPE) for breaching the Australian Consumer Law. AIPE was found guilty of engaging in systemic unconscionable conduct in relation to the enrolment of vulnerable consumers in online diploma courses.

What are the Key GRC Concerns for the Education Sector & How Can Technology Help?



Governance



The Key Concerns

Educational governance is particularly complex and multifaceted. School and district leaders work with school boards and other entities to establish the practices and processes under which schools operate. This strict and controlled guidance sets standards for level of education and is designed to protect students but it can leave schools struggling to prove they are following these descriptive guidelines which is where good governance comes into play.

Schools need to implement clear guidelines and policies and processes for staff, parents and students - to ensure everyone is aware of the rules and is following them to the best of their knowledge. This requires extensive staff training, exceptional policy management, clearly defined and well-structured processes, and systems with pre-set forms and step-by-step intuitive processes that ensure staff are operating consistently and are unable to miss out important steps.



Forward-thinking educational institutions understand that traditional manual processes create inefficiencies when implementing rules. Having clearly defined processes in place that make it difficult to break the rules or skip key steps in the process ensures staff are functioning in line with procedures – software automation can facilitate this.



How Technology Can Help

Good governance provides operating rules for an organization. Without these rules, educational institutions would lack structure and control. To achieve good governance, rules & policies must be clearly defined, and staff must follow them using an intuitive step-by-step process.

GRC technology can provide a framework to set up a comprehensive policy management process. All policies are stored centrally and are date & time-stamped with a comprehensive history, so staff know which version is current. Staff can attest to the policy online, providing reassurance and proof that they have read and understood it.

Teams can implement structured sign-off and implementation processes for policies & procedures that automatically notify staff when action is required. Once they complete their task, the stakeholder in charge of the next step will also be notified. Having all this information tracked & logged centrally, allows management to easily run reports on the status of policies and related changes – or incidents relating to policies & procedures.

GRC tools equip organizations with the correct governance for any process. These tools offer purpose-built workflows that align with key operating standards, such as ISO and GDPR. Utilising these preconfigured capabilities and structured processes that align with audit requirements make it easy to ensure staff and students are behaving in the desired way and following processes.

Risk Management



The Key Concerns

Educational institutions face a plethora of risks that they must mitigate to operate successfully, including:



Strategic Risk: Operators must proactively manage a range of strategic risks, such as modernising facilities and improving the level of student care, any external factors that could potentially derail your strategy should be considered & carefully monitored.



Compliance Risk: Failure to achieve compliance with the required regulations and legislation will leave educational institutions exposed to risk which can lead to failed inspections & audits, lack of funding and reputational damage.











Information Security Risk: The growth of online learning has widened the attack surface for cybercriminals, perpetuating data security challenges.

In addition, the education sector is experiencing change at a rapid rate. Some of these shifts are being caused by traditional forces, such as regulatory compliance, audits & inspections, and safety; others have stemmed from recent disruptions to the sector that impacted an institution's ability to deliver on-site lessons. This has given rise to – or accentuated – risks linked to technology, cybercrime, staff recruitment, mental wellbeing, and data security.

The vulnerability of students and the sheer amount of specialist equipment & extra-curricular activities means health & safety risks are a major consideration for schools – from ensuring enough qualified members of staff are on-site during school hours to safeguarding off-site activities. Meanwhile, higher educational institutions must also be prepared to mitigate financial risks linked to funding to a greater extent. [Deloitte](#) outlines the emergence of five broad higher education risk categories: business model risks, reputation risks, operating model risks, enrolment supply risks, and compliance risks.

All risks must be logged in a comprehensive risk register. Risk assessments will need to be performed and the findings captured. Risks will need to be rated according to their likelihood, severity, and impact to build a complete risk profile. Risk needs to be monitored on an ongoing basis enabling problems to be flagged and addressed - with many institutions opting to use operational data to give a clear indication of when they are nearing their risk tolerance.

Using manual processes to manage complex risk management requirements - results in crippling inefficiencies for educational institutions:

-  Spreadsheets and emails do not offer the necessary mapping capabilities and structured framework.
-  Shared files and drives can result in data being overwritten and users locked out of documents.
-  Nothing is date and time stamped.
-  No links to other relevant organizational data.
-  Produces multiple versions of data - rather than a single source of truth.
-  Risks can't be linked to processes, operational data, or strategic objectives.
-  Unstructured manual risk reporting.
-  Time-consuming administrative tasks and paperwork.

Efficient risk management requires a holistic approach that allows institutions to be proactive by breaking-down risk management silos and establishing the infrastructure – governance, data, processes, and culture – needed to be prepared for the threats and opportunities that present themselves.

Software engages the entire organization with the risk management process and ensures all stakeholders can capture even the smallest incidents and near misses, which if left unaccounted for will escalate. This makes risk management more accessible, accountable, trackable, and resolvable and much more visible to leadership teams.

✓ How Technology Can Help

Schools, colleges, and universities are turning to GRC software solutions that consolidate disparate risk processes, systems, and data sources into a single point of oversight, providing deep insight into their risk profile, status, and performance.

These intuitive solutions are enabling them to:

- 🎓 Set up a comprehensive risk register.
- 🎓 Perform risk assessments and calculate their likelihood of occurrence to generate risk ratings.
- 🎓 Set Key Risk Indicators (KRI's) and define risk tolerances enabling them to operate within their risk appetite.
- 🎓 Feed in operational data from other systems via API integrations to link risk to other metrics.
- 🎓 Use automated control monitoring to spot anomalies in large data sets and send notifications when an undesirable level of risk is reached.
- 🎓 Get an overall view of their risk exposure via dashboards and reports.
- 🎓 Link risk management to other core business functions like compliance and strategy planning.

This enhanced level of structure and automation empowers the organization to be a conduit for risk-related information and creates a risk-aware culture through engagement, participation, and leadership.



To further streamline the risk process, educational institutions should use GRC solutions that offer automated reporting and live dashboards to get a real-time view of their risk profile at any time. These solutions provide the structure and framework to set up a best practice risk register and perform risk assessments and capture mitigating actions. The system is used across various departments and stakeholders, making everyone responsible for risk consolidating disparate processes, systems, and data sources into a single point of oversight for leaders.

Incident Management



The Key Concerns

An incident involves a negative event often resulting from a risk. Within schools, risks materialize into common incidents linked to factors like excursions, after-school care, extracurricular activities, travel arrangements, and damage to equipment. Higher educational institutions must manage a different risk portfolio and subsequent incidents linked to factors like overseas students, funding, fees, grants and specialist facilities and equipment.

There are also broader incidents involving staff or third-party contractors that must be managed carefully through to resolution, like teachers calling in sick, technology failures, and damage to buildings and property.

The knock-on effect of sudden incidents in educational institutions can have a damaging impact on students, staff, and parents. This brings a comprehensive incident management process into sharp focus for decision makers who are charged with keeping operations running smoothly during an unplanned incident – from ensuring there's enough staff to maintaining power.

Logging incidents manually can cause problems. Critical details can be missed, and it can be hard to capture photographic evidence and perform route cause analysis. In addition, there is limited accountability and reporting, making it difficult for schools to understand the causes of incidents and put preventative measures in place.



How Technology Can Help

Automated incident management tools ensure all associated events are managed through to a full resolution via flexible workflows that detail and document the triage, remediation, and stakeholder notification process. The solution helps to standardize the incident logging process with predefined forms. Users can upload photographs & links, and tag the staff & students involved. Teams can perform root cause analysis, conduct investigations, and determine their impact. Use the solution to log near-misses, helping you to predict incidents before they happen and ensure your incidents are tracked back to the originating risk to avoid future incidents.

Use the automatic workflows & notifications, to notify the relevant stakeholders or parents of the incident, with all communication, tracked, logged, and monitored. Organizations can also extend their incident management tool to third parties, vendors, and contractors. Most incident reporting tools offer a mobile app, allowing staff to log incidents on the move.

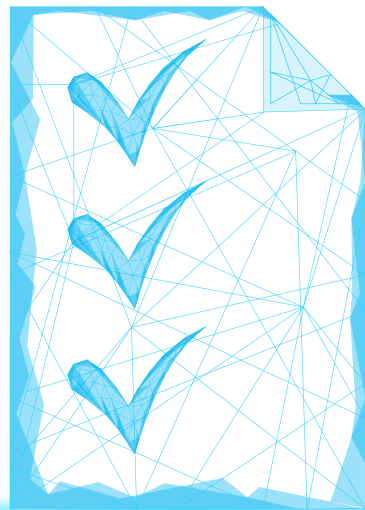
Take things a step further by linking your incident reporting tool to student data via API integrations, by using this connectivity, institutions benefit from greater insight into common incidents that occur at a student level. Furthermore, linking your risk management tool to your incident reporting process, will enable you to convert risks into full blown incidents, and the insights provided from an integrated solution will enable you to understand trigger events for incidents and intercept them before they happen. The dashboards and reporting functionality will help you to spot trends and take action to prevent future incidents and the solution will provide a complete audit trail of each incident from start to finish.

Audits & Inspections



The Key Concerns

Audits and inspections are commonplace in the education sector to ensure guidelines are being followed, pupils are safe, and the curriculum is on track. From large, high-profile inspections from Ofsted and governing bodies to smaller inspections, like audits and equipment testing - schools, colleges, and universities have a lot to manage. For these to be effective, all findings must be logged and tracked to provide proof of adequate standards – a requirement that is often hindered by inefficient manual processes such as spreadsheets, emails, shared documents, and folders. Manual processes can lead to overdue audits & inspections and can delay the response time to resolve any audit findings.



How Technology Can Help

Using software enables you to build a centralized register of all your audits in one place and effectively implement recommendations for the findings identified. It streamlines the process by aggregating audit & inspection data into a consistent format and implementing automated workflows to add ownership & accountability. This allows institutions to maintain a central audit register that enhances data accuracy, accessibility, and usability. Automation enables teams to set reminders for upcoming audits and send notifications for outstanding audit actions. Maintaining a digital record of audit findings and the action taken enhances the efficacy of the audit process when demonstrating compliance to external auditors and regulators.

Policy Management



The Key Concerns

Internal and external policy management is an evolving challenge for the education sector amid a dynamic regulatory landscape and the multitude of policies needed to define behaviors, processes, relationships, and conduct.

In an age of sweeping educational reforms and budget constraints, educational institutions must endeavour to comply with everything from health and safety controls and data privacy laws to curriculum guidelines and facility standards. As new regulations are introduced, existing legislation is amended, and governments introduce new guidelines, institutions must update their policies & procedures to reflect the changes.

Policies are the fulcrum of compliance in institutions of all sizes because they establish the guidelines they must follow when creating procedures and engaging in day-to-day operations. They demand compliance with applicable laws and regulations and enshrine the mandate established by senior decision-makers to support the institution's values and objectives.

With multiple policies to manage and many stages involved in their lifecycle – from creation and implementation to management and updating – institutions are often hamstrung by manual processes that create bottlenecks. Schools must establish an array of internal policies that guide considerations like first aid, school uniform, absence and sick leave, student care, code of conduct, holidays, pensions, and maternity leave. Higher educational institutions must also formulate policies that consider the age of their students, such as equal opportunities, overseas students, visas, loans, and student accommodation.

Storing these documents manually on shared drives can cause problems. Users are unsure which is the latest version, when it was approved, and when it is due to be revised, and leaders lack visibility into which employees have read and agreed to each policy. Version control can get out of hand, document history is lost, and tracking of policy approvals and changes can be challenging.



How Technology Can Help

The vast portfolio of policies needed in educational institutions highlights the value of embracing automation that streamlines the policy management program across four key areas: policy creation, policy approval, accountability & permissions, and version control. The result is a complete audit trail of each policy lifecycle and its approval and usage.

Policy management technology provides a central repository for all your documents. As each policy is uploaded, it will be given essential credentials like, creation date, owner, revision date, policy approvers, and who the policy applies to. Automated workflows send out the policy for approval and the policies can be signed off or amended online as part of an automated workflow. End users can view policies online and confirm that they have read and attested to the policy. This essential proof of acceptance of each policy can be useful in staff tribunals and disciplinary action.








Compliance



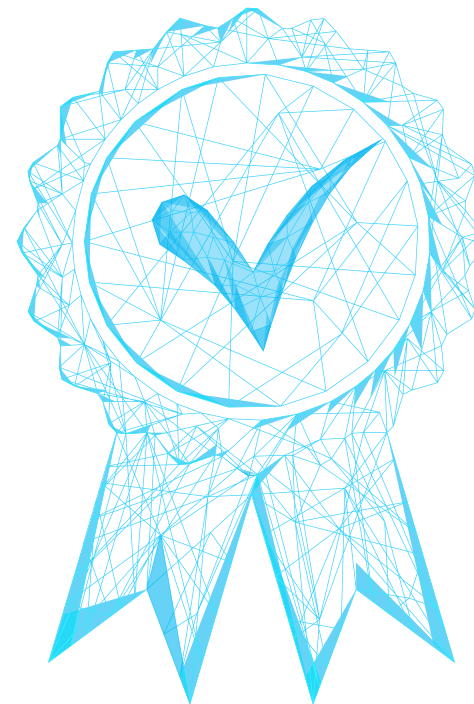
The Key Concerns

The education sector deals with some of the most vulnerable people in society - making it one of the highly regulated sectors. The dynamic nature of the regulatory landscape in the education sector leaves institutions struggling to keep pace with changes to regulations and legislation – a challenge that has been exacerbated by the Covid-19 pandemic. However, many of these organizations often lack the time and resources needed to meet their regulatory requirements.

Unstructured manual processes cause regulatory compliance obligations to become disjointed, complex, and time-consuming – restricting an institutions ability to meet existing requirements and manage change. This gives rise to challenges that compound the already complex regulatory environment, such as:

-  Lack of an audit trail.
-  Difficult to establish accountability and ownership.
-  Reduced agility to react, due to lack of automation and process mapping.
-  Restricted view of regulatory compliance - resulting in time-consuming reporting.
-  Inaccurate and duplicate information across multiple spreadsheets, documents, and status reports.
-  Lack of visibility into upcoming regulatory changes and their impact on the institution.
-  Wasted resources and time on administrative tasks.






In an age of sweeping educational reforms and budget constraints, educational institutions must endeavour to comply with everything from health & safety rules and data privacy laws to curriculum guidelines and facility standards. As new regulations are introduced, existing legislation is amended, and governments introduce new guidelines, institutions must update their procedures to reflect this, before demonstrating to regulators how and when that change was implemented.





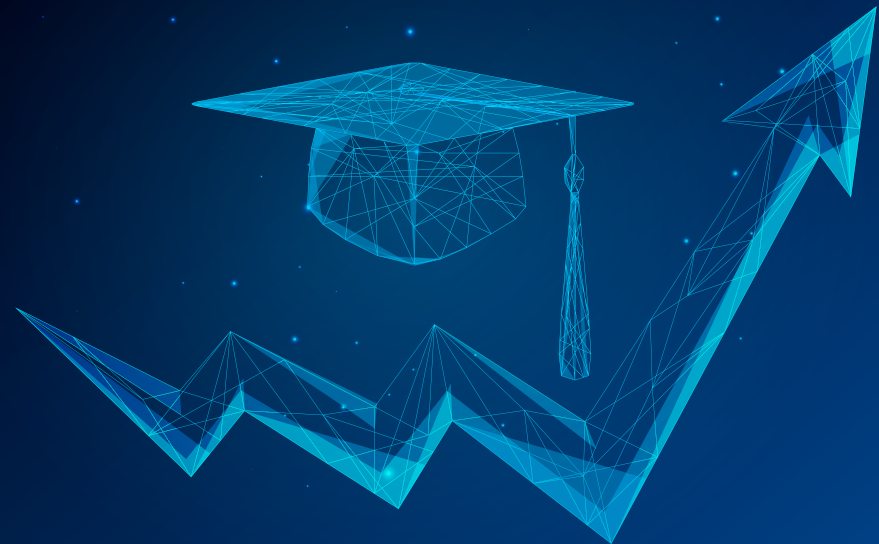
How Technology Can Help

GRC software is innovating the education sector from a compliance perspective, streamlining processes by automating complex compliance requirements. This willingness to embed best-practice compliance tools into their processes opens the door to compelling benefits for educational institutions:

-  Create and house a digital, comprehensive obligations library categorized by type.
-  Use regulatory horizon scanning to receive notifications of upcoming changes.
-  Use automated control monitoring to detect emerging risks or flag non-compliance.
-  Create automated rules that add areas of non-compliance to the risk register or incident log.
-  Comprehensive monitoring in a single point of oversight via real-time dashboards and reports – streamlining reporting and audit trails.

By embracing automated technology to manage compliance requirements it fosters collaboration amongst teams ensuring everyone is responsible for compliance. Each obligation can be allocated an owner and associated staff can complete tasks and actions within the system to show any changes have been implemented and checks and signoffs have been completed. It provides assurance for leaders that the organization is operating in line with the relevant regulations and legislation.

Regulatory change requires automation to maximize efficiency and ensure compliance. Educational institutions should harness technology with automated horizon scanning to detect upcoming regulatory changes and new legislation and to roll out the changes across the organization, capturing information about who is responsible for the change and what was done to implement it and when - to form an audit trail of proof.



Contractor Management and Third-party Risk



The Key Concerns

The effective delivery of education services is underpinned by third-party contractors – adding another layer to the risk management process. A team of external contractors will support the daily operations of an educational institution, including IT managed service providers, supply teachers, catering staff, specialist trades, and coach companies.

Managing the risks posed by the network of third parties that institutions use to support their operations is becoming increasingly complex. A lack of appropriate controls within this network can have a detrimental impact on students and permanent staff amid a need to establish policies, provide certifications, conduct CBI checks, and ensure adequate first aid.

Contractors can be called upon at short notice. To verify their suitability – and guarantee student safety and efficient use of financial resources – institutions must conduct a thorough vendor selection process, including comprehensive checks and risk assessments.

Schools oversee this vendor selection process by establishing a governing body that meets regularly, while universities have a board of directors that fulfil a similar role. Documentation of the vendor assessment process, risk assessments, and questionnaires should be captured to ensure fair vendor selection, and any incidents or complaints should be documented and managed through to resolution.

Unexpected failures by contractors and support vendors have the potential to cause irreversible damage to an organization's reputation and diminish trust amongst parents and students. Consequently, there is increased pressure on risk professionals in educational institutions to get a better handle on third-party risks as part of their broader risk framework.



How Technology Can Help

Many educational institutions are looking to GRC software to formalize and automate third party risk management and the vendor selection process. The technology enables them to perform questionnaires and vendor assessments in one centralized platform and analyse the results.

Many GRC solutions offer the capability to issue external forms and questionnaires via a discreet portal enabling organizations to send out vendor questionnaires and risk assessments directly from the tool and capture the results centrally and consistently to make it simple to compare vendors and choose the right provider.

Vendor risk management tools enable organizations to perform regular vendor reviews and capture the results to ensure KPIs are being met. The tools offer the ability to set up workflows to automate the signoff of a vendor enabling contracts to be issued in a timely manner. Many tools connect to external data sources via APIs to seamlessly integrate vendor assessments with external third-party risk intelligence providers to get real-time updates on their finances, sustainability ratings, sanctions listings, cybersecurity rankings and more.

To take things a step further, link third party risk to your compliance obligations to ensure your suppliers and contractors are performing in line with compliance obligations to clearly demonstrate compliance during audits.

Consent Forms, Feedback, and Complaints



The Key Concerns

The proliferation of legislation in the education sector - designed to safeguard students and staff - has made digital consent forms and feedback & complaints procedures commonplace in the education sector. It is important for schools to collect parental consent for certain school activities or send out communications to parents about class trips or disciplinary action. In addition, educational institutions often require a formal complaints procedure for parents or older students to provide feedback about any problems or concerns and many organizations will want to send out questionnaires to get feedback from parents & students to improve their processes.

With more approvals required from parents than ever before, institutions must look beyond manual processes & written letters that potentially compromise student digital safety and cause vital feedback to slip through the cracks. They must look to formalize and standardize processes, by using online forms and questionnaires to capture information centrally.



How Technology Can Help

Some GRC software solutions offer an intuitive automated portal that allows parents to conveniently log in and access details about important events or issues like class trips, parents' evenings, or ongoing disciplinary action. Parents can log into the portal to read information and provide consent.

Most GRC systems will also offer the capability to set up a formal complaints procedure by setting up online forms for parents to complete. This solution captures the information discreetly and the built-in reporting functionality enables schools to view the details in various dashboards and reports. Institutions can also use these tools to send out questionnaires to parents and older students to capture feedback to pave the way for continuous improvement.

Strategy Management



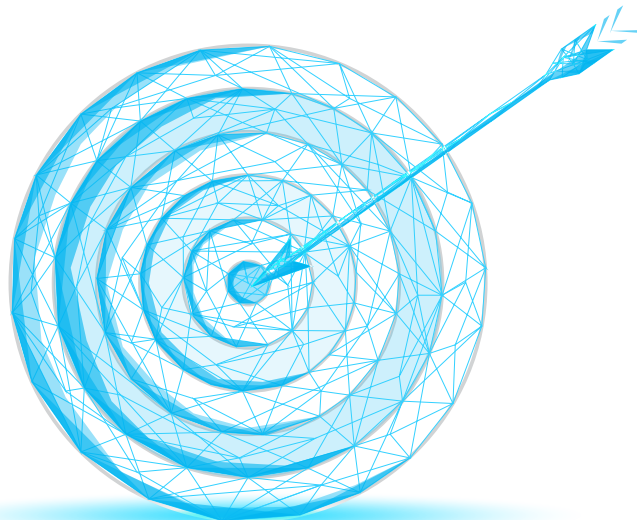
The Key Concerns

With learning institutions under immense pressure - to sustain a high level of education to attract students & parents and provide access to modern facilities & equipment - comprehensive strategic planning is key.

However, leaders must realize that even the strongest strategic plans are dependent on staff execution. To be proactive, educational institutions must break down their strategic goals and initiatives into a series of projects, tasks and actions and allocate them out to staff across the organization.

These projects and tasks – supported by policies and procedures – will provide the structure that’s needed to achieve top-line goals. These initiatives must be reinforced by performance metrics including, timelines, budgets, and accurate data to help leaders monitor progress and keep them on track. For this to be successful, they require clear ownership and key deliverables.

Manual processes are an increasingly inefficient and unstructured means of delivering key projects and tasks relating to strategic goals, causing bottlenecks. This has prompted an acceleration in the adoption of strategy planning software within the sector.



How Technology Can Help

Strategy planning tools facilitate organizations to map out their strategy and break it down into a series of goals, programs, projects, tasks, and actions – which are allocated out across the organization and attached to relevant KPIs and metrics. This essential mapping allows educational institutions to achieve vital insight into each level of their strategy. As lower-level actions and tasks are completed, the system indicates progress at each level of the plan. Problems such as missed deliverables, delays, and setbacks can be logged and addressed, and automatic notifications are sent when tasks are completed - allowing the relevant team to move on to the next stage.

Software allows organizations to achieve vital insight and oversight via a centralized system that maps strategy, captures relevant data, and tracks the progress of goals to completion. Stakeholders can use this single-pane-of-glass view to tick off completed initiatives, input spend, add timelines, and log risks and dependencies by linking to the risk register or obligations library. Empowered by this best practice framework, goals can be achieved by completing associated projects and tasks successfully and a structured picture of the strategic plan can be created.



How to Structure Your Corporate Strategy

This structured framework will provide the bedrock of organizational value by informing decision-making and ensuring resources are allocated properly. Automated strategy planning software has the power to streamline the complex and time-consuming process of capturing data from across the organization and moulding it into information that informs the strategy. By linking strategic goals to your risk library, compliance obligations, and rules & policies, you can understand the impact of every function on your strategy.

Strategic planning software enables educational institutions to achieve the holy grail: holistic communication of the strategy and organizational goals from the top-down and bottom-up – a proactive communication framework that ensures stakeholders are invested and the wider organization works together towards common goals.

Project & Portfolio Management



The Key Concerns

Educational institutions must manage multiple projects to enhance the level of education provided and stay relevant. These vary in size and time to completion – from larger projects like constructing new facilities and implementing a new curriculum, to parents’ evenings and after-school activities – they rely on multiple stakeholders, resources, and actions.

Within educational institutions there are also individual portfolios for different departments that need to be managed effectively across key subjects including maths, history, geography and various scientific disciplines, universities also offer a broad range of degrees and courses that need to be co-ordinated holistically amongst staff and students. Multiple teachers and lecturers will be expected to provide a standard level of education across these topics, therefore managing these different portfolios effectively enabling all teachers to be aware of the core content to include in each lesson is essential.

The management of each project & portfolio involves numerous staff, teams and even contractors creating a multitude of dependencies and risks that must be managed effectively. To achieve delivery of large projects, educational institutions will need to break down projects & portfolios into a series of smaller tasks & actions and allocate them out to teams and individuals across the organization.

For effective management of each project & portfolio, educational institutions require a structured framework that fosters effective collaboration and facilitates transparent information sharing. Disconnected manual processes create inefficiencies when collaborating on projects that cause them to stall, resulting in cost implications. Furthermore, progress tracking and reporting becomes difficult with no single source of truth.



How Technology Can Help

Many educational institutions are choosing to digitize their project and portfolio management processes with specialist software solutions. Project management software supports the delivery of critical – and complex – projects on time and within budget by establishing a structured framework that embeds consistent processes throughout the project lifecycle and provides the foundation for holistic management. Each project is broken down into a series of smaller projects and tasks and allocated out across the organization. As these tasks are completed, progress is indicated at every level of the project. Automatic workflows and alerts can send notifications when tasks are completed, allowing the next task to begin promptly. Users can set timelines & budgets and log risks, dependencies, and hours worked - to keep projects on track. Teams can utilize automated control monitoring to flag missed deadlines, overspending and problems with KPIs and SLAs. They can also automatically log any project related risks to the risk register - or in the incident management tool - by integrating these key areas.

The software fosters a collaborative approach, everyone has visibility of when tasks were completed and who by. Leaders can see progress at every level of the project. Clear visibility of progress and approvals, enables staff to quickly move into the next stage of the project, and any problems are soon flagged and resolved. Many project management solutions can connect to external systems via API integrations, enabling organizations to integrate staff lists, financials, and budget information with projects to assign ownership - enabling teams to set controls against real data to flag problems. These solutions add structure and governance to project & portfolio management, and the dashboards and reports make it easy for leaders to understand progress.

How Should Educational Institutions Integrate GRC & Strategic Planning to Maximize Success?

With so many different areas to focus on – governance, risk management, compliance, corporate strategy, and project delivery, senior decision-makers in the education sector have a juggling act on their hands to ensure organizational success. Without proper tools, and alignment with organizational objectives, these initiatives become siloed and disjointed processes that lack an audit trail, causing leaders to drop the ball.

We have explored the key areas that support progressive, compliant, and risk-aware schools, colleges & universities – but the drive for success shouldn't end there. Ambitious organizations should further augment and integrate these GRC processes and strategy planning requirements to futureproof their establishment and remain agile.

Departments and processes should not operate in silos. Organizations must aim to align their GRC processes and overall strategy with their daily operating model – and link it to real-life operational data. Extensive mapping of each area will help institutions to understand the impact of each risk or compliance requirement on individual departments, portfolios, and strategic programs.

These ten considerations can enhance the oversight of your GRC processes and strategy planning – adding value and helping you achieve success:

1

Automate regulatory horizon scanning

Link your compliance processes to third-party content updates from educational regulatory content providers. GRC software can then scan the regulatory horizon for changes and automatically notify relevant stakeholders of new legislation or upcoming changes. These notifications will provide an overview of the amendments – and the processes they will impact – and trigger a workflow that implements the relevant changes step-by-step, providing a complete audit trail for regulators.

2

Align compliance and risk

By aligning your risk management and compliance processes you can rest assured that risks of non-compliance are automatically added to the risk register. This access to accurate data provides you with the foresight needed to proactively manage your exposure to potential risks, rather than attempting to react when it's too late.

3 Integrate your incident management process with GRC

By integrating a best practice incident management process into your GRC program, teams can log any type of incident and trigger a workflow to manage the incident through to resolution. From risks and areas of non-compliance that turn into incidents to system and operational failures, this can be managed using the same comprehensive process, providing a complete log of all incidents that are categorized by type.

4 Incorporate performance-data into your strategy

The best way to know if you are achieving your strategic goals and objectives is by setting KPIs based on operational data. Mature organizations break down their strategy into a series of projects and tasks using strategy management software, to allocate responsibilities across the organization. They then map KPIs to live data and set controls to flag when milestones have been reached, the level of risk is too high, or they are not on track. This visibility allows them to address problems early and track progression across strategic programs and projects.

5 Feed operational data into your compliance program

Remaining compliant with regulations and legislation relies on staff following clearly defined processes and procedures. Senior decision-makers require operational data to feed into the compliance program to get a clear view of how operations align with compliance requirements. This can be done using a GRC solution that offers API integrations with other data sources.

6 Consider risk and compliance obligations in your strategic plans

As part of your strategy planning, you should add strategic risks to the risk register and ensure strategic plans align with your compliance obligations. Use strategy mapping to plan for different outcomes and scenarios, weighing up both the risks and the strategic opportunities. Set KPIs and tolerances for strategic risks to understand their likelihood. Map compliance obligations, and ensure plans and initiatives related to your strategy do not breach compliance requirements. For a comprehensive process, regulatory change should also be mapped to your strategy, so you can pivot based on regulatory requirements.

7 Implement governance to mitigate risk and ensure staff follow compliance guidelines

Governance is critical to all organizations. For it to be successful, staff must operate consistently and within the desired risk tolerance by following compliance guidelines and internal policies and procedures – none of which is possible without robust governance. These functions must be intrinsically linked for governance to be effective. Staff must be guided step-by-step through intuitive processes, workflows, and comprehensive signoff processes to ensure actions are completed correctly and key steps are not missed.

8 Comprehensive reporting and dashboarding

Achieving visibility of your risk profile, compliance status, and strategy progression – and understanding overall performance – is essential for leaders to guide the organization and make informed decisions. Mapping and linking critical data across risk, compliance, and strategy – and having the ability to view this data, identify trends and spot anomalies – provides vital intelligence for leaders. Manual reporting is cumbersome and time-consuming and often doesn't provide the quality of information needed. Most GRC solutions offer live dashboarding and automated control monitoring – providing accurate and timely information for leaders to make informed decisions.

9 Consider opportunities alongside risk




Risk management is often considered a negative process because it typically involves identifying things that might go wrong – but risks have the potential to be both positive and negative. Mature organizations use the same risk management tools and frameworks to look for positive outcomes. These are logged as 'opportunities' and can be used by leaders to drive calculated decisions.

10 Standardise processes across departments and portfolios

By standardising processes for project and portfolio management, you will achieve continuity that adds structure and governance to planning processes. Standardization ensures agreed-upon processes are communicated across teams, consistently followed, and constantly improved by all stakeholders.

GRC Software as the Facilitator

Achieving an integrated approach to GRC requires extensive mapping, system integrations, and in-depth reporting requirements – functionality that only exists in GRC software solutions. To implement this functionality into your institution, look for GRC solutions that offer the following capabilities:

-  Strategy management tools alongside GRC capabilities in the same platform.
-  Highly configurable tools that enable you to tailor the solution to your requirements – without expensive configuration costs.
-  API functionality to pull data from other systems to provide a single source of truth.

-  Regulatory horizon scanning via integrations with relevant third-party regulators, to receive automatic updates on regulatory changes that impact you and implement them via a predefined workflow.
-  Mapping and linkages between risk and compliance functionality, enabling areas of non-compliance to be added to the risk register and empowering you to consider compliance risk as part of your overall risk management program.
-  Functionality to set up multiple risk registers that can be mapped to different departments to track key risk areas via a centralized platform, such as strategic risk, IT risk, and operational risk – and understand the impact of these risks on each function.
-  Libraries that house all your obligations – from regulations and legislation to internal policies and procedures.
-  Automation to track version control, define ownership, and implement structured approval and signoff processes.

How Our Clients Are Using the Camms Solution

Due to new challenges and the changing regulatory landscape education providers are now operating in, many are undergoing a business transformation exercise in response. The extent of these changes to the organization are far-reaching and difficult to manage and embed. Camms solutions are playing a central role for our clients in executing this transformation, from tracking deliverables linked to new strategic objectives, managing projects to deliver elements of the business transformation, to managing the many risks and compliance obligations associated with a large-scale change management process.

Find out how our clients in the education sector are harnessing the Camms solutions to improve their GRC programs and strategic planning.



Risk Management

The majority of our clients in the education sector are using the solution to perform risk assessments and set up a comprehensive risk register with KPIs and KRI's linked to a control framework. They rely on the solution to develop consistency in the management of risks across multiple faculties, removing duplication of effort, and automating aggregation of risk scoring for consideration in strategic risk registers. The solution facilitates them to mature their risk management approach and explore their risk appetite.



Incident reporting

Many of our clients use the tool to set up a comprehensive incident management process. Incidents are logged within the tool using pre-designed forms, and once logged a workflow is triggered to the relevant stakeholders, to perform a root cause analysis and triage the incident through to resolution. The tool can pull in student data via APIs from other systems to link incidents to student location, age, and classroom & supervising teacher providing insight into the cause and likelihood of future incidents.



Regulatory horizon scanning

Clients use the Camms solution to pull in third-party content from their chosen regulatory provider to feed into their compliance process. When they receive notification of an upcoming change, the solution triggers a workflow process to notify the relevant stakeholders. It monitors the complete implementation of the change, with every action logged and time-stamped, providing a comprehensive audit trail for regulators.



Housing their extensive obligations library

With regulations and legislation being a key concern in the education sector, many of our clients use the Camms solution to house their extensive list of obligations. This allows them to maintain a complete library of applicable regulations and legislation – as well as their internal policies and procedures. They can track changes within the solution, making use of the structured framework and automated workflows and alerts. This ensures that staff are fully trained in all appropriate areas relevant to their duties, including key areas like school governor training, Child Protection, manual handling, and first aid.



Linking compliance to risk

Our clients use the solution to map data across their risk and compliance programs, assess the impact of risk on different departments and add risks of non-compliance to their risk registers. The GOTAFE – the largest vocational education provider in regional Victoria, Australia – leverages Camms software to capture the various linkages between these areas to assess these relationships in a holistic approach.



Extensive risk and compliance reporting and dashboards

Our clients use the real-time dashboards available within the tool to understand their compliance status and flag problems early. They use the extensive reporting functionality to automate internal reporting requirements from senior level and to satisfy the requirements of auditors and regulators. The Department of Education and Training – a government department in Victoria, Australia – uses Camms software to simplify reporting and analysis, so information can be managed and reported upon centrally and reports and dashboards have been designed to highlight areas of management interest.



Automated control monitoring

Clients use the automated control monitoring functionality within the Camms solution to set controls that flag risk tolerances and KPIs. They typically use it to detect unusual activity by flagging anomalies in large data sets and to notify them of upcoming dates for regulatory changes and missed deadlines. The NSW Health Education and Training Institute – a leading provider of training and education to support clinical and non-clinical staff, trainers, managers & leaders across the New South Wales health system – use it to enhance performance monitoring practices at all levels of the organization - allowing near real-time visibility of status. Camms have observed increasing interest among education and non-education industries to house 'control test' workflows for the purpose of validating processes, tracking corrective actions and highlighting trends.



Automatic workflows and alerts

Our clients use workflows to implement structured signoff and approval processes, and to formalize their regulatory change process. They use notifications to flag anomalies in data and to notify them when risk reaches an intolerable level, before using workflows to implement remediating actions. They also use workflows and notifications for incident management, to ensure any incidents are resolved promptly and all stakeholders are informed. The University of Sydney uses Camms software to communicate real-time notifications of incident submissions to the risk team. The University of Western Australia, with a staff and student cohort well over 8,000, use the Camms solution to notify and engage departments heads across the university. Capturing such a wide variety of incidents/hazards, from science labs to lecture theatres, Camms customisable and dynamic workflows make logging and managing incidents far simpler and more transparent.



Common risk methodology

Our clients use the software to provide a centralized source of truth that helps them to transition from a silo-based approach to risk management using Excel, toward a more dynamic and comprehensive solution – one that provides better visibility of both risk and controls and their linkages with key strategic and operational objectives. The University of Leeds use the Camms platform to unify their approach to risk management across various departments and establish a common risk methodology – enabling more accurate and comprehensive monitoring and reporting to university-level risk governance bodies. We took this same approach to meet the needs of the University of Western Australia.

Camms.

Camms offers a cloud-based SaaS GRC solution that aligns with your organizational strategy, so you can manage your GRC program in line with your strategic goals and objectives. The solution uses a modular approach, allowing educational institutions to scale and mature their GRC programs and strategic planning at their own pace.

Risk management

Set up a comprehensive risk register, track progress, and define KPIs and tolerances based on your risk appetite. Use the structured framework to define ownership and set key risk indicators, use automatic workflows and alerts to flag problems, and implement structured approval processes.

Compliance management

House a comprehensive obligations library of relevant regulations, legislation, policies, and internal procedures. Set a structured process for version control, approval, ownership, and regulatory change. The solution integrates with third-party regulatory content providers to offer regulatory horizon scanning.

Governance

Implement workflows, registers, and sign-off procedures for any process – including safety checks, feedback & complaints, disclosures, inspections, whistleblowing, questionnaires & surveys.

Strategy management

Break down your strategic goals and objectives into lower level projects and tasks and allocate them across the organization to easily monitor performance and track progress.

Incident management

Facilitates incident and near miss reporting in real-time and triggers the investigation process post-event.

Audit management

Schedules and manages internal and external audits and formalizes the results and required actions.

Cyber and IT risk

Manage the complex framework of compliance requirements and risks related to ISO standards and data privacy laws like GDPR.

API integrations

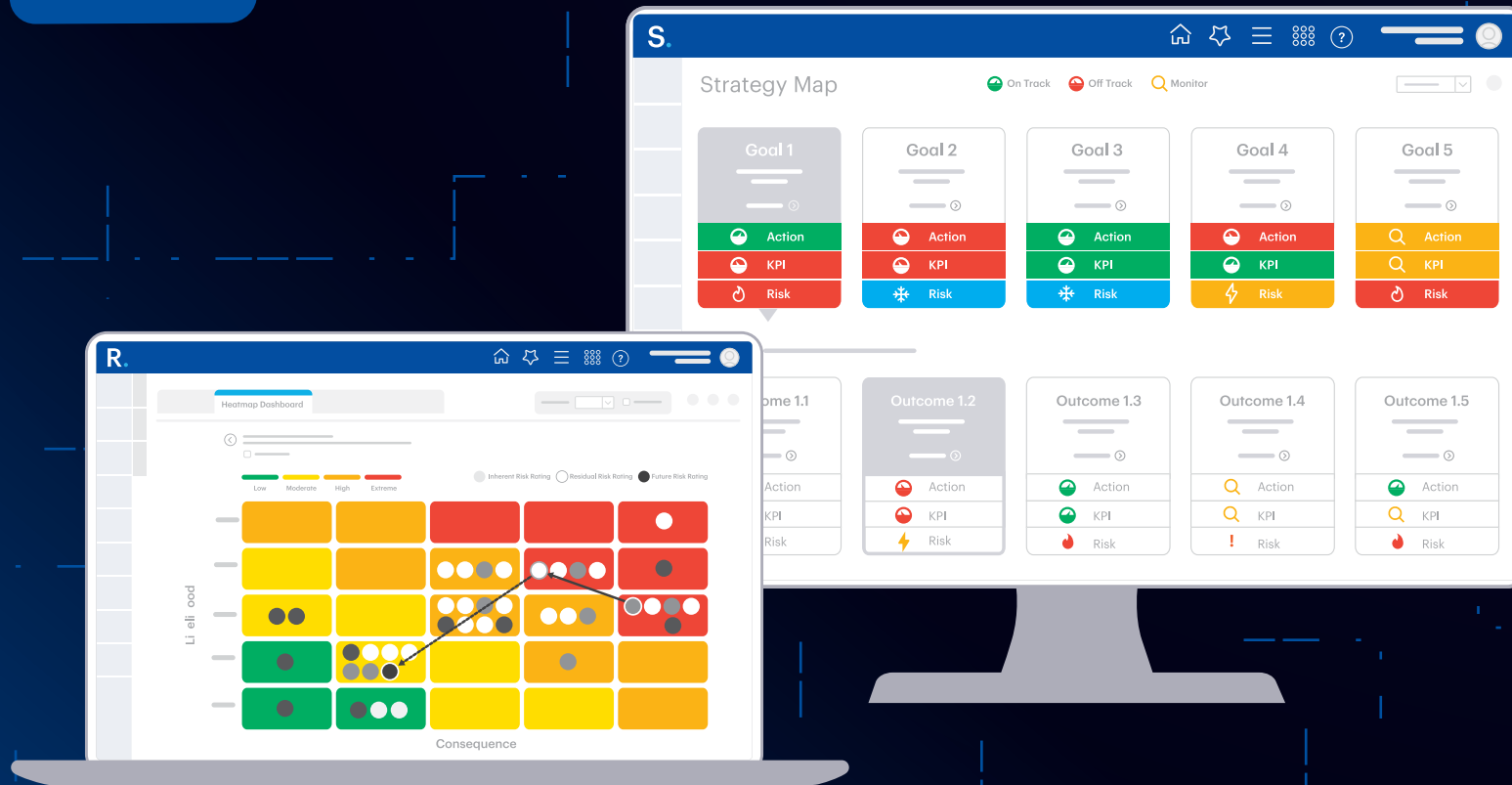
Transfer data from other systems in and out of the Camms solution via API connections, enabling you to base KPIs on live data.

Stakeholder dashboarding

Intuitive functionality provides executives and the board with key risk, compliance, and strategic progress information when required.

Analytics and reporting

Built-in dashboards and standard reports provide critical risk insights and executive reporting that satisfies requirements from auditors and regulators.



Managing these different functions in a centralized platform fosters collaborative working and the sharing of data across teams. It enables communication from the top-down and bottom-up and ensures operations follow best practice processes to keep leaders, auditors and regulators satisfied.

Set up a Comprehensive GRC Program that Aligns with Your Corporate Strategy



Camms offers a cloud-based SaaS solution that can be specifically configured for the needs of the education sector to set up a comprehensive GRC program that aligns with your corporate strategy.

Set up obligations libraries and risk registers, manage incidents, monitor compliance, administer policies & regulations, and roll out your corporate strategy – all within one solution. Automatic workflows & alerts link to a defined framework of KPIs, controls, and tolerances, to form a complete end-to-end solution.

With integrated solutions across governance, risk, compliance, ESG, strategy, and project management, Camms software is helping those in the education sector manage risk, make the right decisions, and streamline and automate processes.

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Software to Change Tomorrow.