

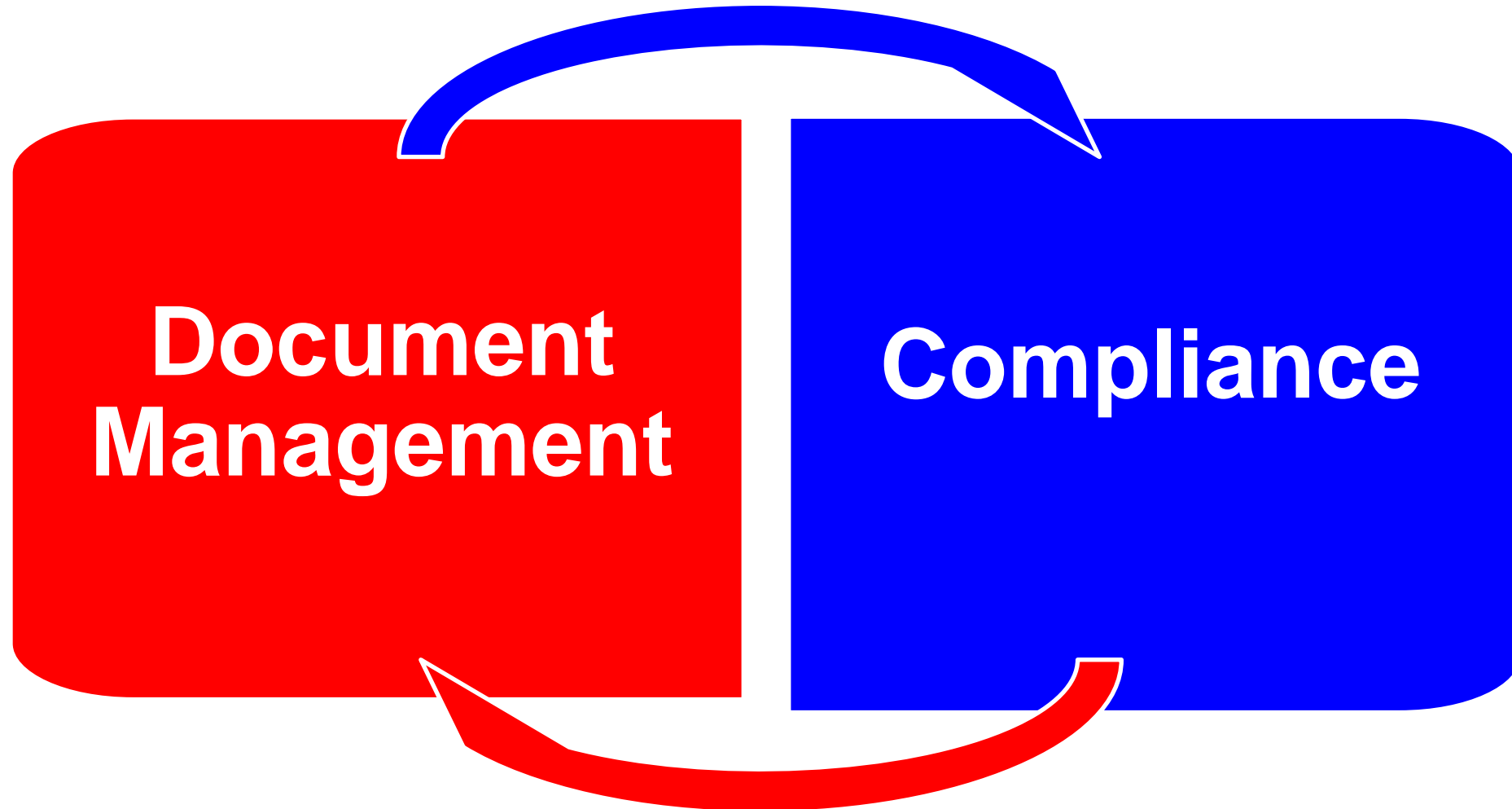
Integrating Document Management And Compliance into Everyday Practices to Strengthen Accreditation in Academic Programs

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North Carolina Central University**



Understanding Document Management and Compliance



Types of Reviews

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graph TD; A[Types of Reviews] --> B[Academic Program]; A --> C[State]; A --> D[Accrediting Agency];
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Academic
Program

State

Accrediting
Agency

Understanding Document Management and Compliance

Document management refers to the **electronic** organization and control of documents throughout their lifecycle.

Understanding Document Management and Compliance

Document management refers to the electronic organization, control, and utilization of **Artificial Intelligence** (AI) to manage documents throughout their lifecycle.

Understanding Document Management and Compliance

Compliance entails more than just adhering to laws, regulations, policies, and ethical values while fulfilling obligations. It also involves implementing a range of policies, practices, and procedures to facilitate these standards' coordination, management, and oversight.

(Perry-Green, 2023)

Understanding Document Management and Compliance

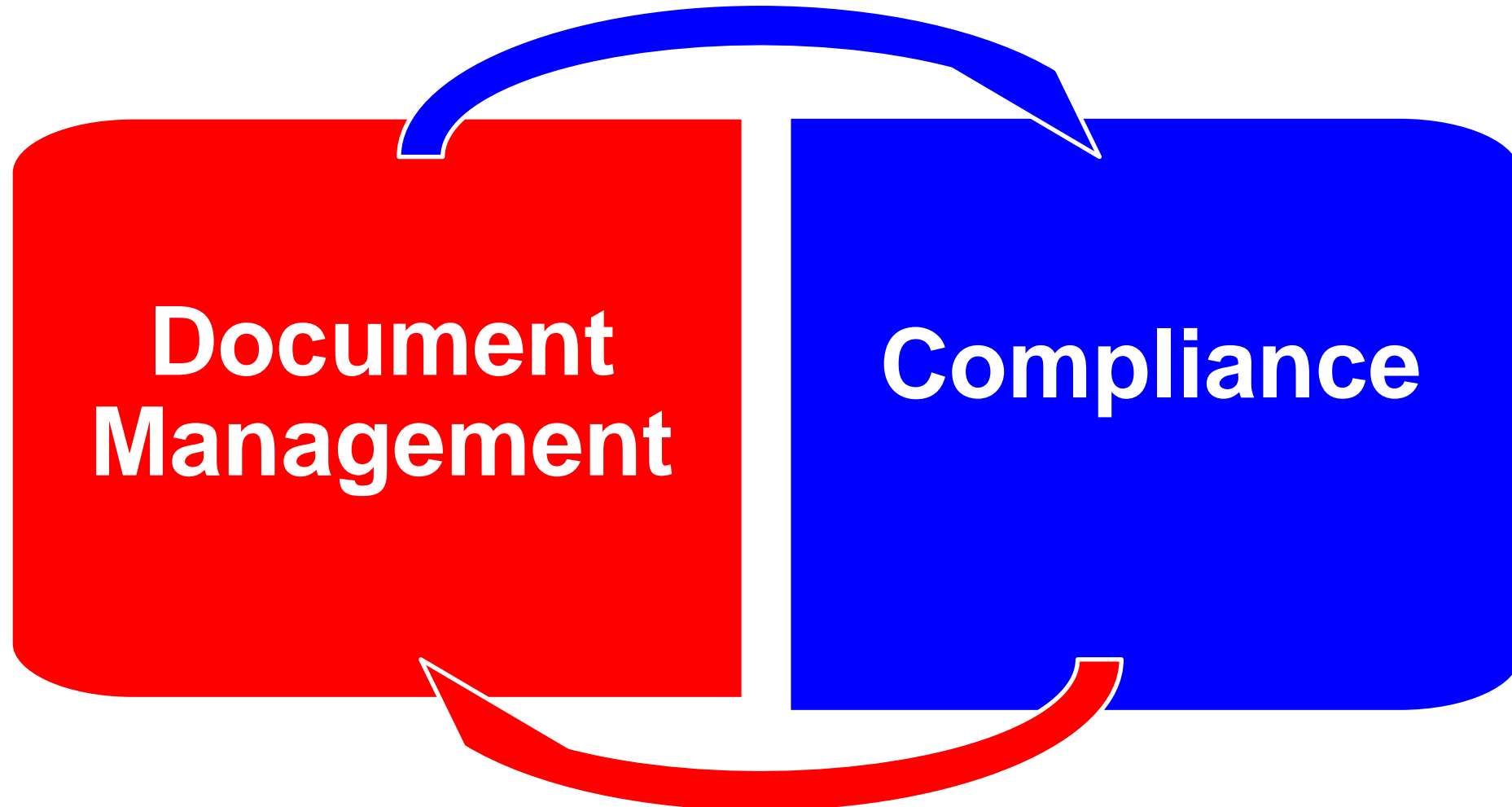
- **Compliance**

- Focuses on ensuring documents meet specific regulations or standards set by accreditation bodies or government agencies.

- **Features include**

- Templates and pre-populated forms to ensure documents adhere to specific formats.
- Retention policies to automate document deletion or archival based on regulations.
- Audit trails to track document activity and demonstrate compliance.
- Integration with compliance databases for automatic verification of information.

Understanding Document Management and Compliance



Understanding Document Management and Compliance

**Why
Accreditation
Matters?**

**The Role of
Document
Management &
Compliance**

Understanding Document Management and Compliance

Why Accreditation Matters?

Ensures
academic
quality

Accountability

Institutional
credibility

Understanding Document Management and Compliance

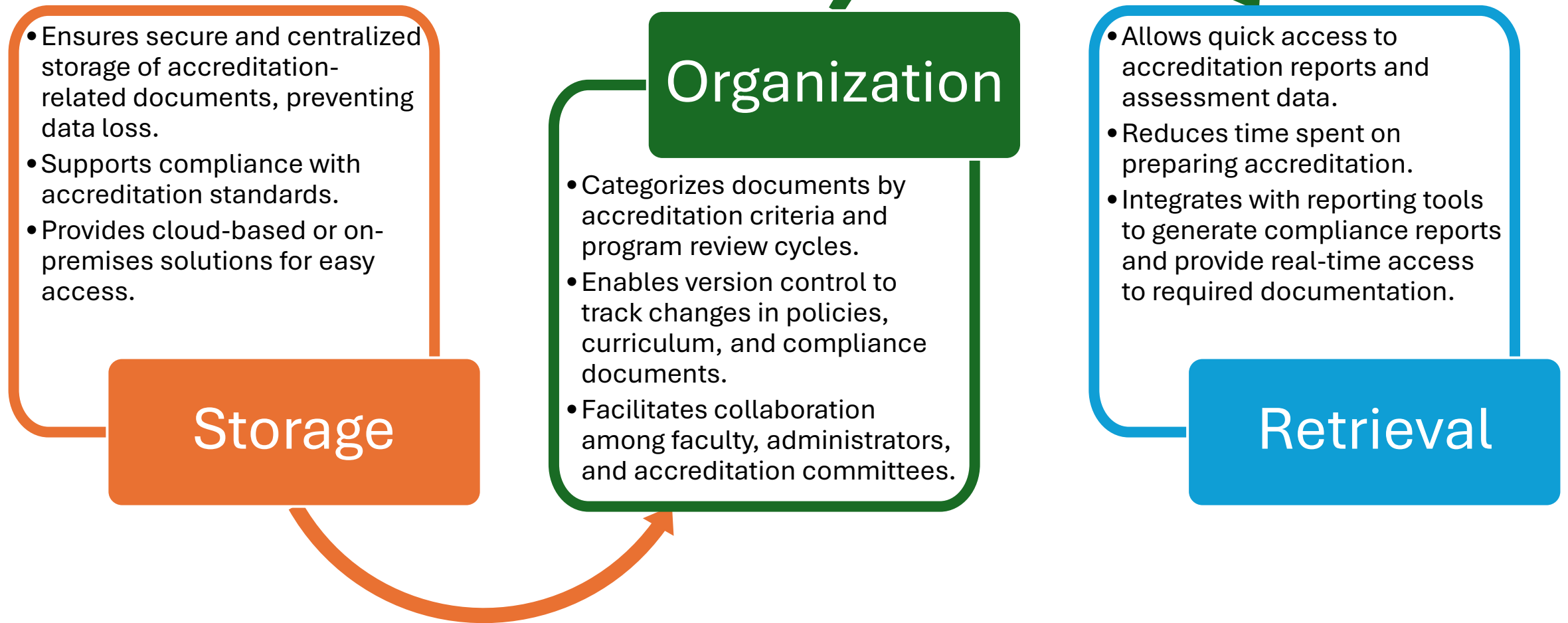
The Role of Document Management & Compliance

Facilitates
smooth
accreditation
processes

Meets regulatory
standards

Enhances
Institutional
Accountability
and
Transparency

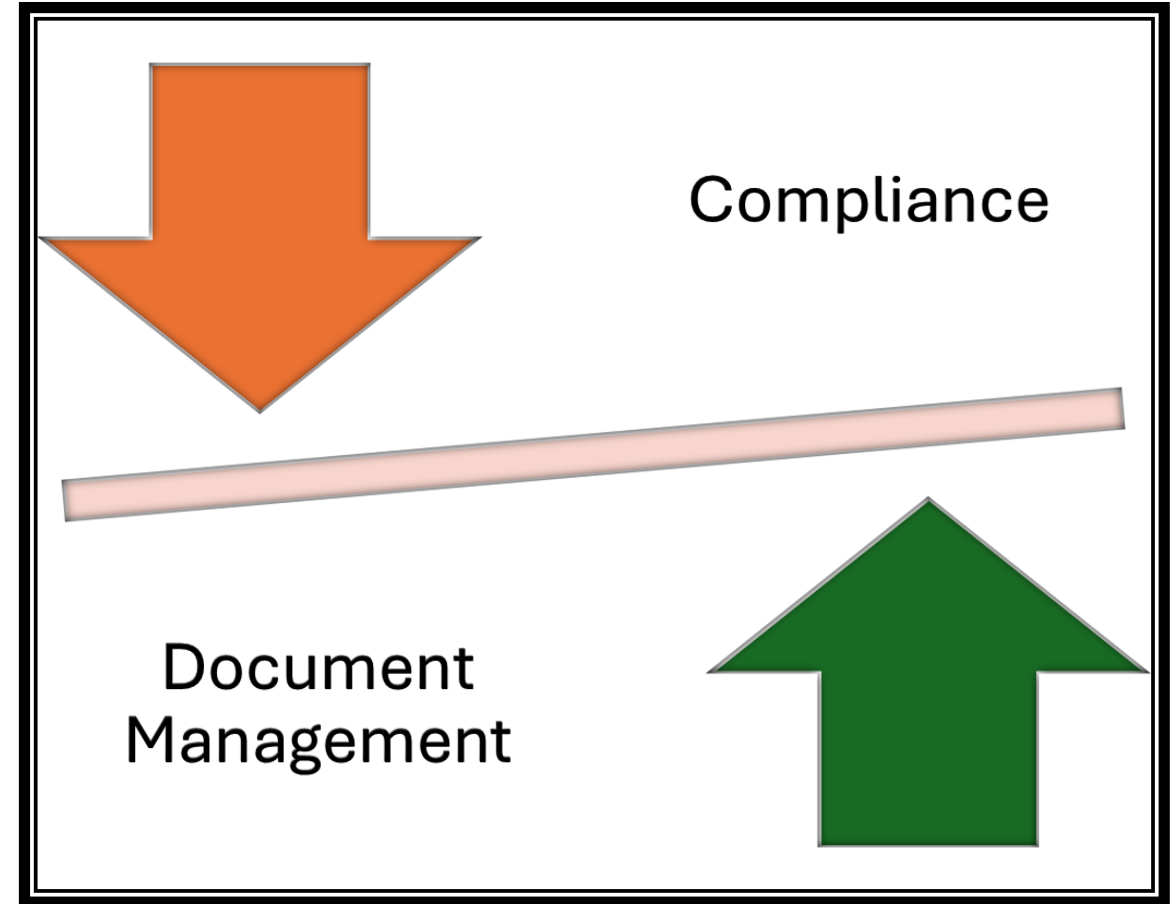
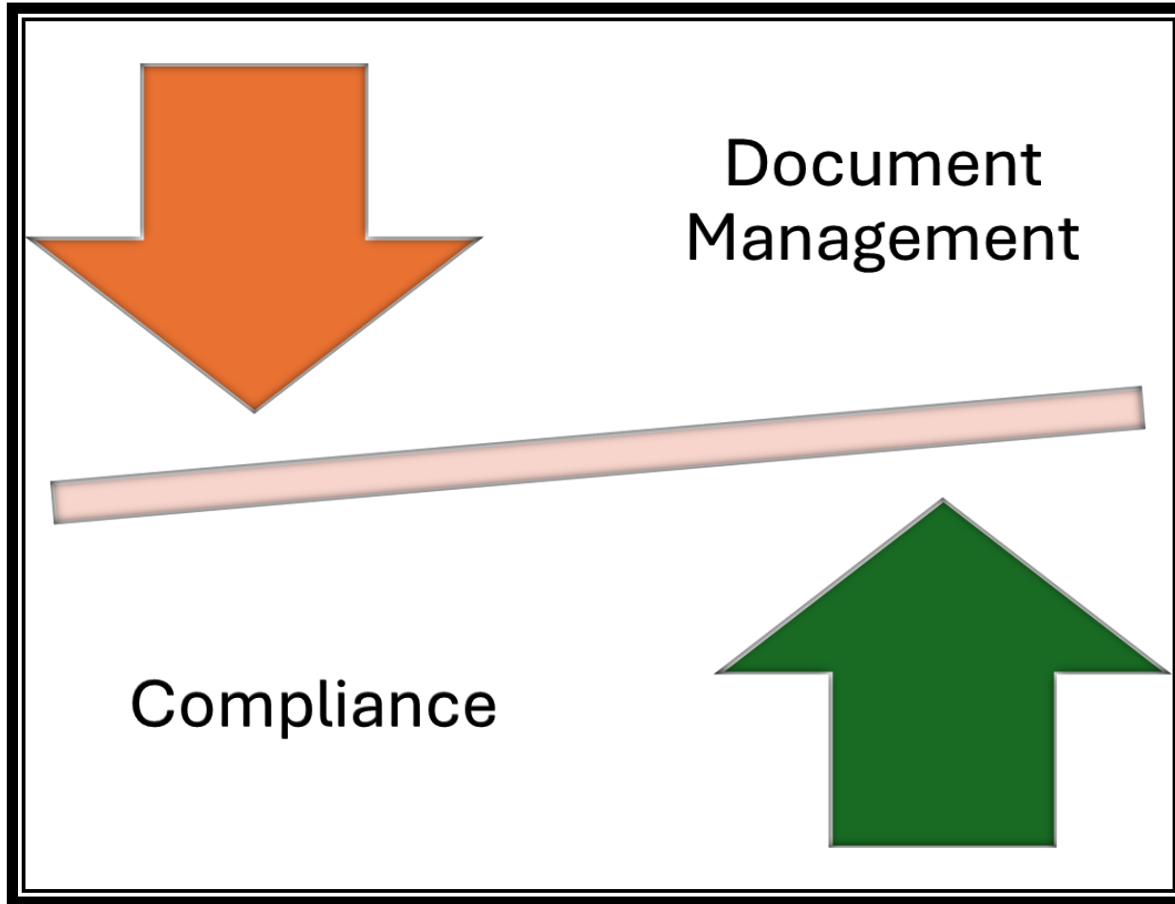
The Role of Document Management in Accreditation



The Importance of Compliance in Accreditation



Understanding Document Management and Compliance



Understanding Document Management and Compliance

**Document
Management**

Compliance

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Understanding Document Management and Compliance

Symbiotic Relationship Between Document Management And Compliance

Document Management Benefits Compliance		Compliance Benefits Document Management
<ul style="list-style-type: none">• Efficient Record-Keeping		<ul style="list-style-type: none">• Standardized Documentation Practices
<ul style="list-style-type: none">• Version Control & Accuracy		<ul style="list-style-type: none">• Regular Audits Ensure Quality
<ul style="list-style-type: none">• Automated Tracking & Alerts		<ul style="list-style-type: none">• Encourages Digital Transformation
<ul style="list-style-type: none">• Audit Trails		<ul style="list-style-type: none">• Creates a Culture of Accountability

Long-Term Benefits and Accreditation Impact

Long-Term Benefits of Document Management & Compliance

- improved data integrity
 - reduced risks of non-compliance
 - enhanced reputation
 - improved decision-making
- These benefits contribute to the overall success and sustainability of the academic program.

Strengthening Compliance Through Daily Practices



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Strengthening Compliance Through Daily Practices



Embedding Compliance into Institutional Culture

- Foster a culture of accountability by ensuring all faculty and staff understand accreditation and compliance expectations.
- Regularly communicate compliance policies and updates through emails, meetings, and workshops.
- Encourage leadership to model compliance-focused behaviors and decision-making.

Strengthening Compliance Through Daily Practices



Implementing Standardized Documentation Processes

- Develop clear guidelines for document creation, storage, and retrieval to ensure consistency.
- Use version control and audit trails to track changes in compliance-related documents.

Strengthening Compliance Through Daily Practices



Utilizing Technology for Compliance Monitoring

- Integrate compliance checklists and dashboards for real-time monitoring of accreditation requirements.
- Utilize AI-driven tools to detect compliance gaps and generate alerts for corrective action.

Strengthening Compliance Through Daily Practices



Conducting Regular Training and Self-Audits

- Schedule periodic training sessions for faculty and staff on compliance best practices.
- Implement routine self-audits to assess adherence to accreditation and regulatory standards.
- Encourage a proactive approach by addressing compliance issues before external audits occur.



01

Resistance to Change Among Faculty and Staff

Solution:

- ❖ Provide ongoing training and professional development to ensure faculty and staff understand the benefits of document management and compliance.
- ❖ Engage key stakeholders early in the process to encourage buy-in and adoption.



02 Lack of Centralized System

Solution:

- ❖ Implement a cloud-based document management system (DMS) that allows for secure, centralized storage, easy access, and real-time updates.
- ❖ Ensure integration with learning management and student information systems.



Solution:

- ❖ Develop standardized documentation policies and templates for accreditation-related materials.
- ❖ Assign compliance liaisons within each department to oversee adherence to record-keeping protocols.

03

Inconsistent Documentation and Record-Keeping

Solution:

- ❖ Utilize automated compliance tracking tools, dashboards, and AI-driven alerts to monitor accreditation requirements continuously.
- ❖ Conduct periodic self-audits and compliance reviews.

**Difficulty in Monitoring
Compliance in Real Time**

04



Solution:

- ❖ Embed compliance tasks into daily workflows, ensuring that accreditation-related documentation is updated regularly rather than only before audits.
- ❖ Use automated workflows to streamline reporting and submission processes.

Time-Consuming
Accreditation Preparation

05



Data Security and Privacy Concerns

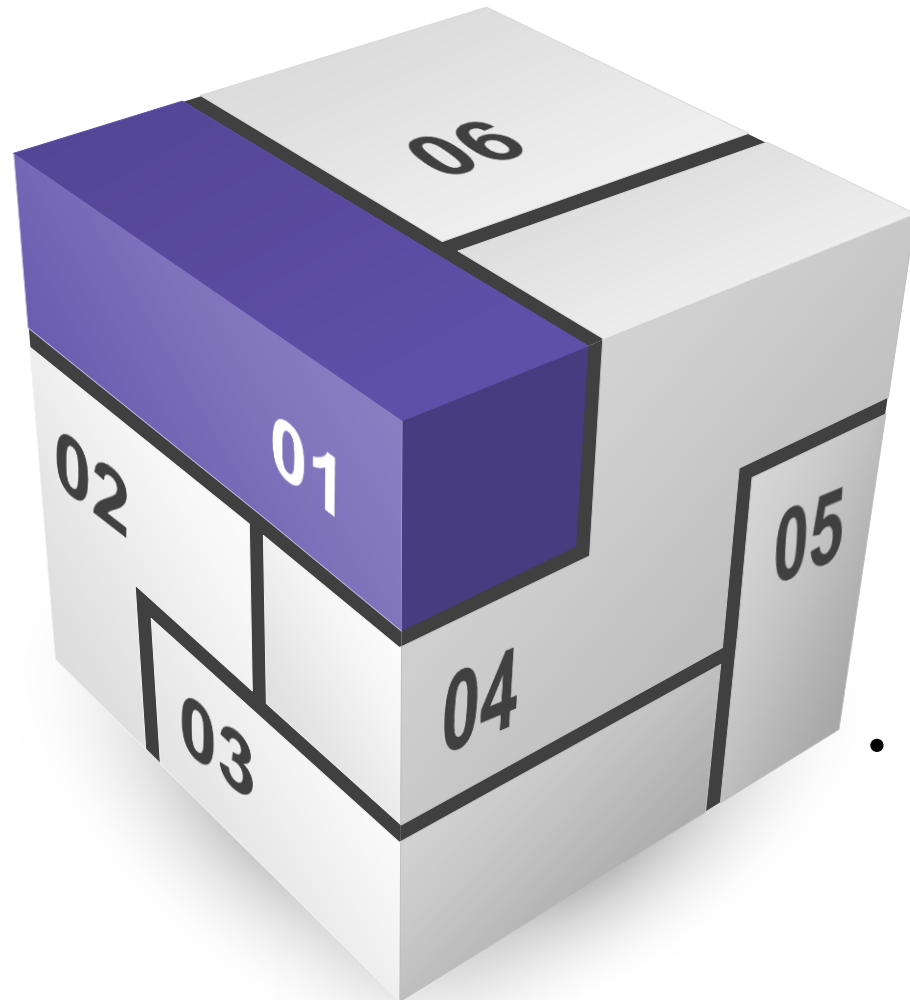
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Solution:

- ❖ Implement strong cybersecurity measures, including encrypted storage, access controls, and regular security audits.
- ❖ Train faculty and staff on data protection best practices.



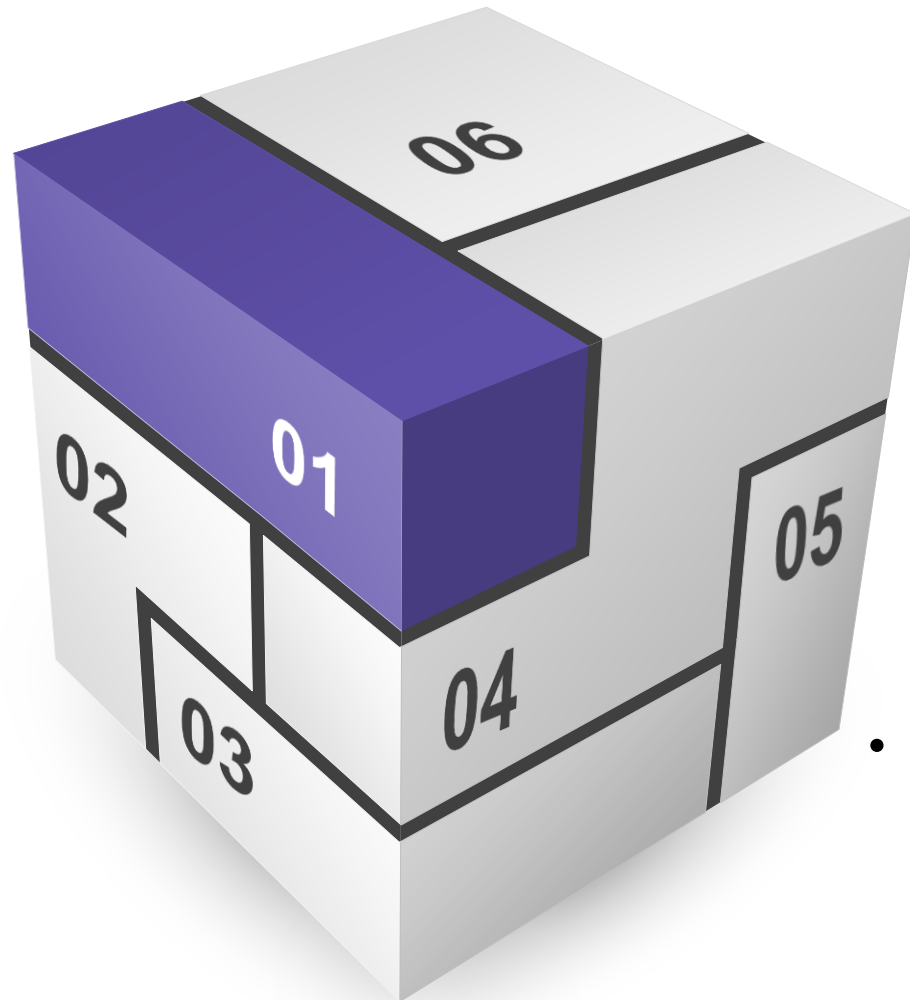
Monitoring and Continuous Improvement System



Implementing Real-Time Compliance Monitoring

- Use cloud-based systems to track accreditation documents and compliance status.
- Automate alerts and notifications for upcoming deadlines and required updates.
- The monitoring and continuous improvement help us stay ahead of changes in accreditation standards and regulatory requirements and maintain high standards of quality and integrity.

Monitoring and Continuous Improvement System



Implementing Real-Time Compliance Monitoring

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Monitoring and Continuous Improvement System



Regular Audits and Self-Assessments

- Conduct internal compliance audits to identify gaps before formal accreditation reviews.
- Use self-assessment tools to evaluate document completeness and policy adherence.
- Develop audit checklists to ensure continuous alignment with accreditation standards.

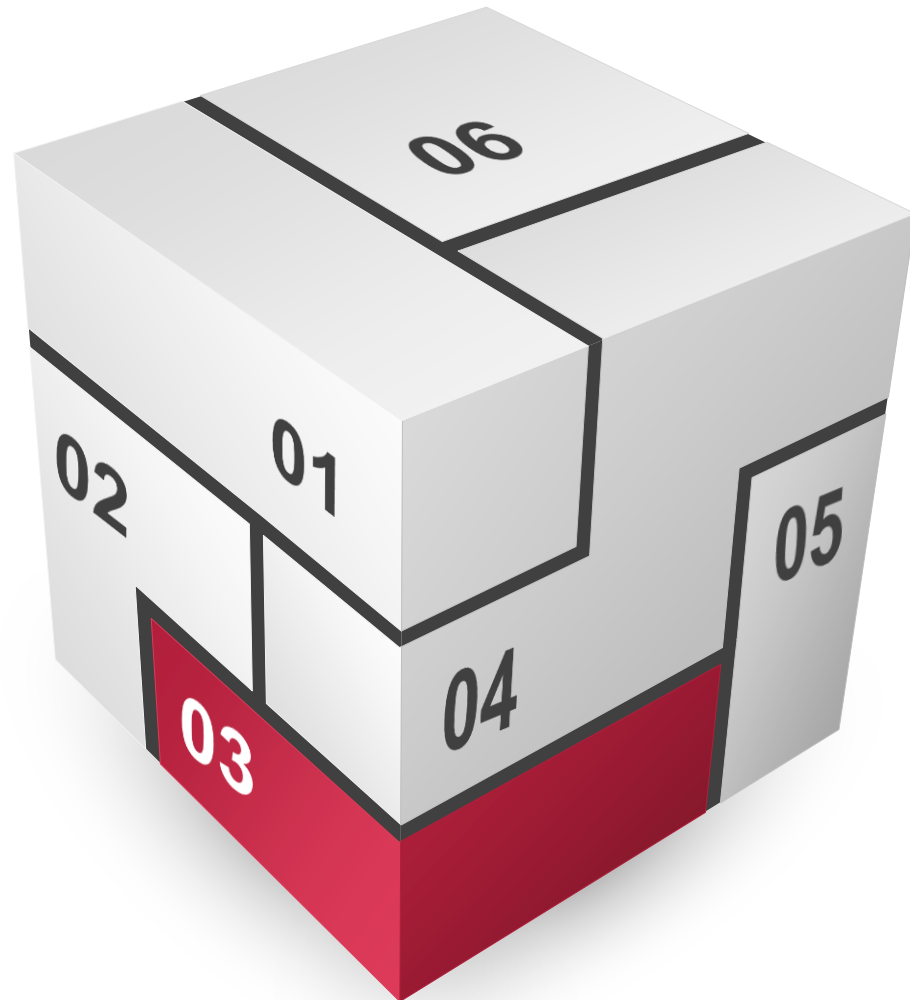
Monitoring and Continuous Improvement System



Regular Audits and Self-Assessments

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Monitoring and Continuous Improvement System



Utilizing Data Analytics for Decision-Making

- Implement data-driven dashboards to track key performance indicators (KPIs).
- Use predictive analytics to identify risks and areas for improvement.
- Leverage AI tools to analyze trends and enhance accreditation readiness.

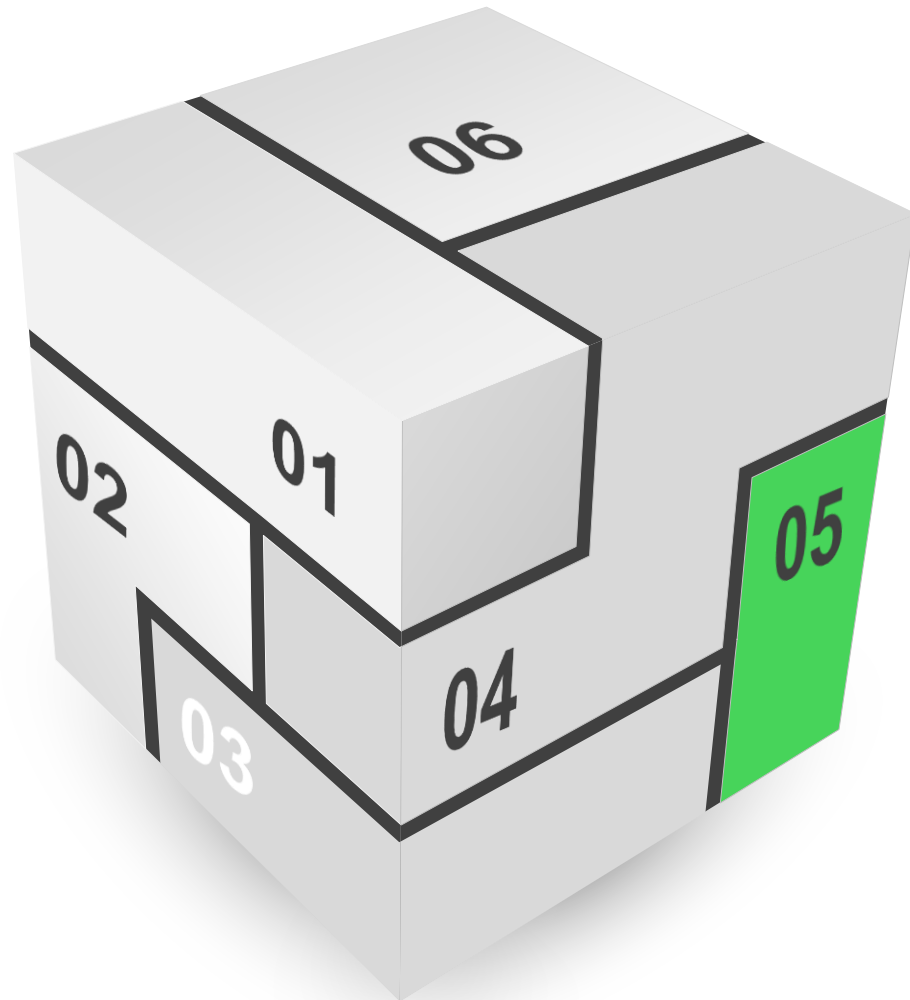
Monitoring and Continuous Improvement System



Strengthening Document Version Control and Security

- Establish centralized document management systems (DMS) to prevent version conflicts.
- Implement role-based access controls to ensure data integrity and compliance.
- Maintain secure backup systems for accreditation-related documents.

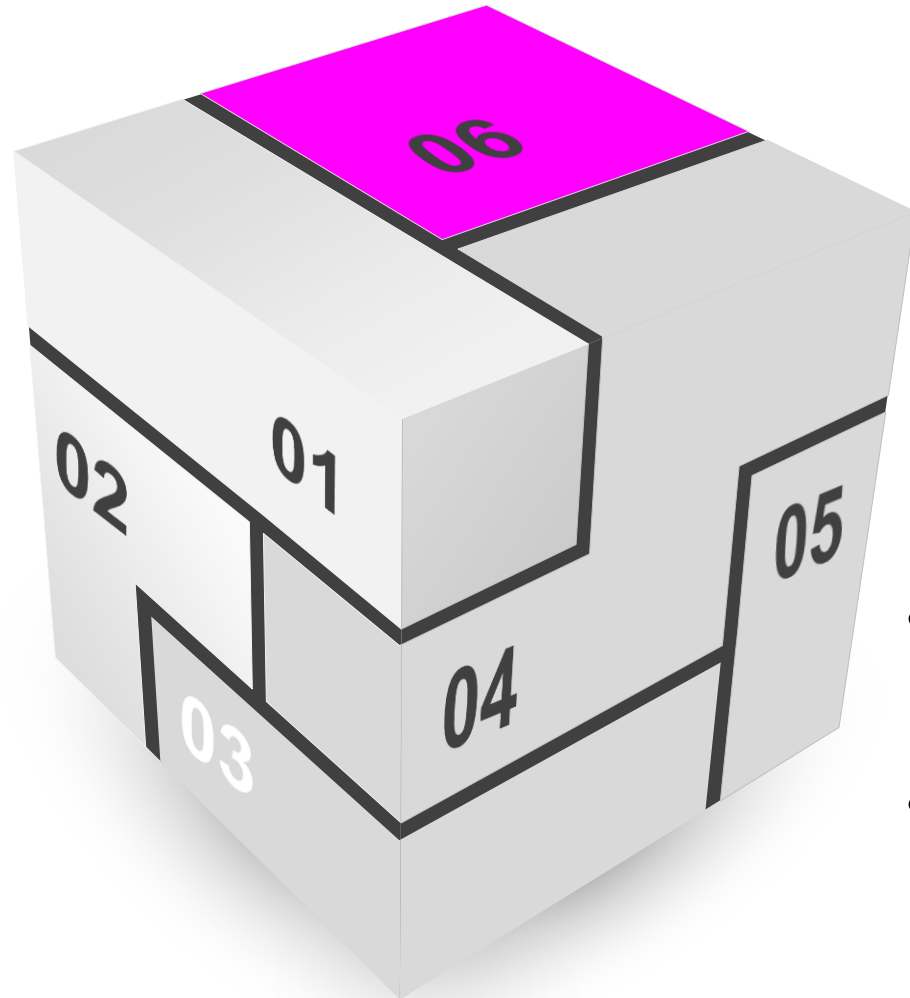
Monitoring and Continuous Improvement System



Integrating Continuous Feedback Mechanisms

- Create a feedback loop with faculty, staff, and students to improve compliance practices.
- Conduct regular training sessions on document management best practices.
- Use surveys and stakeholder input to refine compliance strategies.

Monitoring and Continuous Improvement System



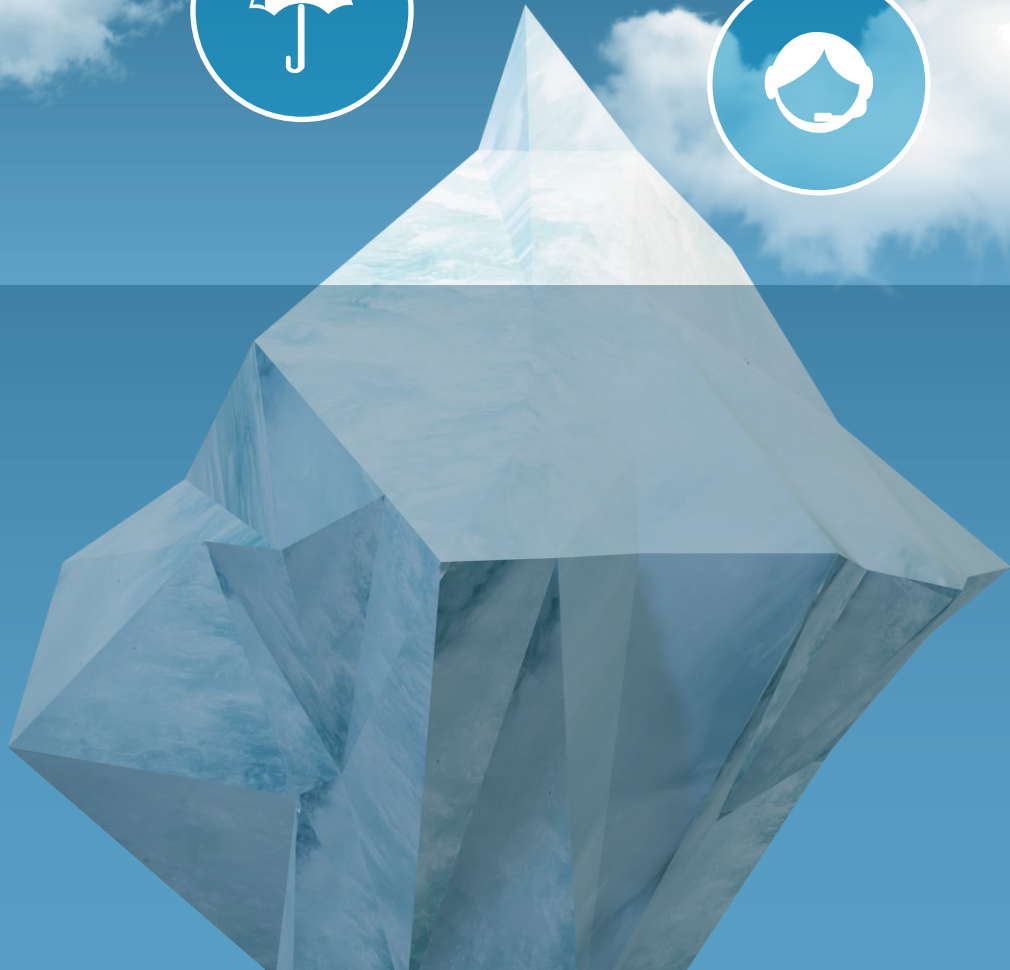
Aligning Continuous Improvement with Accreditation Standards

- Update policies and procedures to align with changing accreditation requirements.
- Establish a committee for ongoing accreditation and compliance review.
- Document and implement best practices for continuous quality improvement.

Future Trends in Accreditation, Document Management, and Compliance



Future Trends in Accreditation, Document Management, and Compliance



Digital Transformation in Accreditation:

- Increased use of AI-driven analytics to track compliance
- Cloud-based accreditation management platforms for real-time document access
- Automation of reporting and compliance tracking

Future Trends in Accreditation, Document Management, and Compliance



Strengthening Compliance with Evolving Standards

- Shift towards data-driven accreditation reviews with real-time dashboards.
- Automated policy updates - changing standards
- Emphasis on cybersecurity and data privacy in compliance documentation



Future Trends in Accreditation, Document Management, and Compliance



Greater Focus on Continuous Improvement & Quality Assurance:

- Moving beyond periodic reviews to continuous accreditation readiness monitoring
- Use of feedback loops and predictive analytics for program improvement

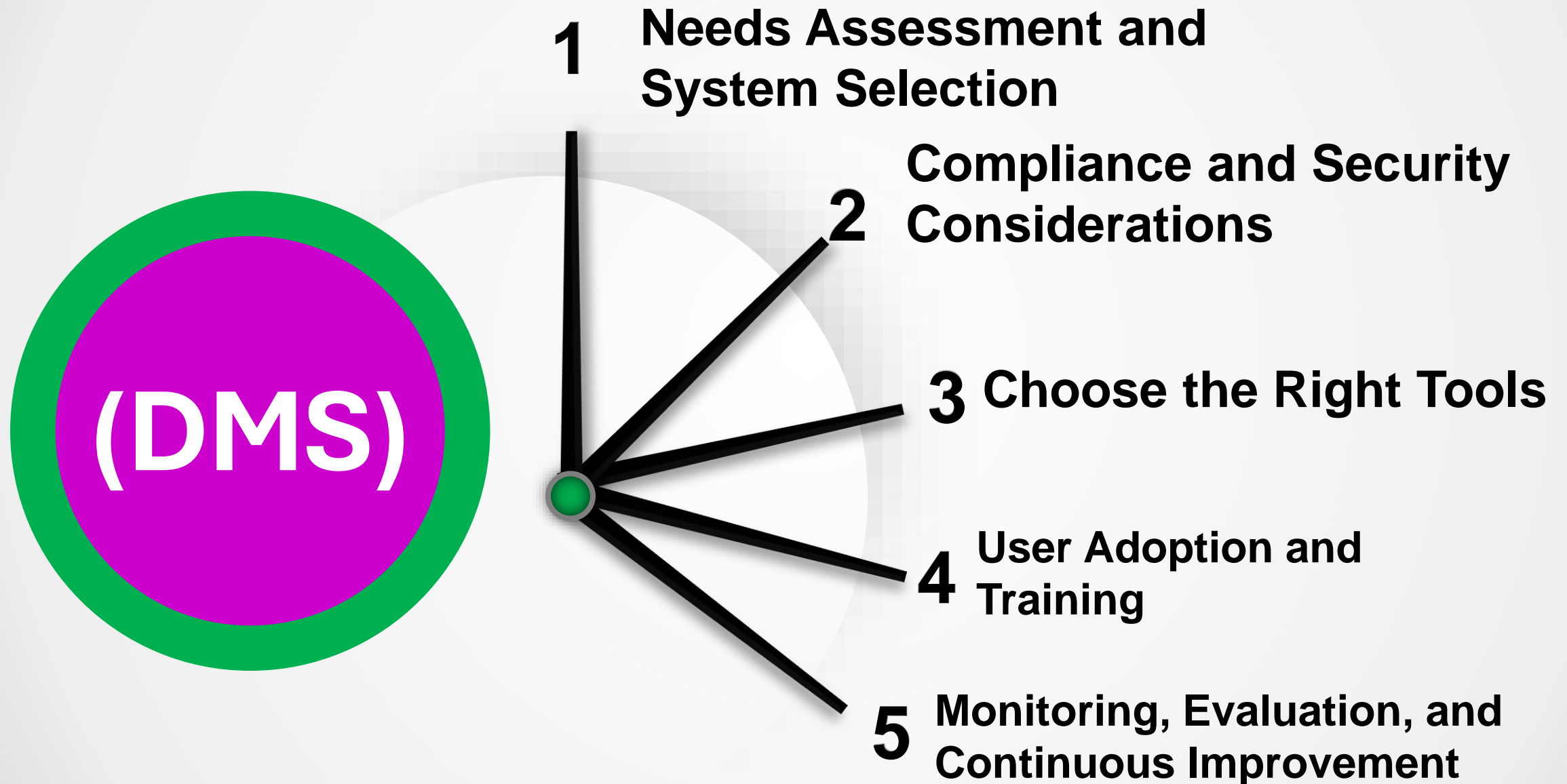
Future Trends in Accreditation, Document Management, and Compliance



Predictions:

1. More institutions will transition to cloud-based document management systems for seamless access and collaboration.
2. AI and Automation Will Revolutionize Accreditation Processes
3. Real-Time Compliance Monitoring Will Become Standard.

Implementing a Document Management System (DMS)



Implementing a Document Management System (DMS)

- **Assess the current DMS and compliance practices:** Compare DMS options based on features such as cloud vs. on-premise storage, search functionality, and version control.
- **Scalability & Future Growth:** Choose a system that can grow with the organization's evolving needs, accommodating more users and documents over time.
- **Cost-Benefit Analysis:** Assess initial investment, licensing, maintenance costs, and potential return on investment (ROI).

1

Needs Assessment and System Selection

2

3

4

5

Implementing a Document Management System (DMS)

- **Regulatory Compliance:** Ensure the system adheres to legal and industry standards like FERPA and accreditation requirements.
- **Data Security Measures:** Implement encryption, two-factor authentication, and audit logs to safeguard sensitive data.
- **Backup & Disaster Recovery:** Establish automatic backups and a recovery plan to prevent data loss in case of system failure or cyberattacks.

1

Needs Assessment and System Selection

2

Compliance and Security Considerations

3

4

5

Implementing a Document Management System (DMS)

- Document Management System

- Select a robust DMS that integrates well with existing systems (e.g., SharePoint, Google Drive, or specialized academic compliance software).

- Compliance Software

- Utilize compliance management software to automate tracking and reporting (e.g., ComplianceAssist or Taskstream).

- Benefits of Choosing the Right Tools

- Improved efficiency better compliance with the accreditation bodies



Implementing a Document Management System (DMS)

- **Comprehensive Training Programs:** Offer workshops, webinars, and hands-on training to familiarize users with the system.
- **User-Friendly Documentation:** Create step-by-step guides, FAQs, and video tutorials for easy reference.
- **Help Desk & Support System:** Provide ongoing technical support through a dedicated IT help desk or online support portal.



Implementing a Document Management System (DMS)

- **Regular System Audits:** Conduct periodic reviews to assess security, performance, and document organization.
- **Gather Feedback from Users:** Use surveys, focus groups, and feedback sessions to understand user experiences and challenges.
- **Continuous System Enhancements:** Implement updates, add new features, and optimize workflows based on feedback and evolving needs.



Document Management Systems (DMS)

Education-Focused DMS for Accreditation & Compliance

1. **OnBase by Hyland** – Used in universities for accreditation documentation, and student records
2. **Watermark** – Designed for higher education accreditation, assessment, and institutional effectiveness reporting.
3. **Acalog & Curriculog** (by Modern Campus) – Helps manage curriculum changes and accreditation reporting.
4. **Interfolio** – Supports faculty activity reporting, tenure and promotion tracking, and accreditation documentation.
5. **CourseLeaf** – Manages course catalogs, curriculum approval workflows, and accreditation processes.

Cloud-Based & Collaboration-Oriented DMS for Academic Institutions

1. **Google Workspace for Education** (Google Drive, Docs, Sheets)
2. **Microsoft SharePoint & OneDrive for Education** – Enables structured document storage
3. **Box for Education** – A secure cloud platform for storing accreditation reports, and faculty records.
4. **Zoho WorkDrive** – Offers team collaboration, version control, and document workflow

Document Management Systems (DMS)

Compliance & Workflow Automation Systems for Accreditation

- **M-Files** – Uses AI-driven document tagging and compliance tracking to support accreditation management.
- **DocuWare** – Automates document workflows, integrates with learning management systems (LMS), and ensures compliance.
- **Laserfiche** – Helps institutions manage student records, faculty documentation, and accreditation processes.
- **OpenText Documentum** – Provides enterprise-level compliance and records management for large institutions.
- **Etrieve by Softdocs** – Specifically designed for higher education institutions, streamlining accreditation and compliance tracking.

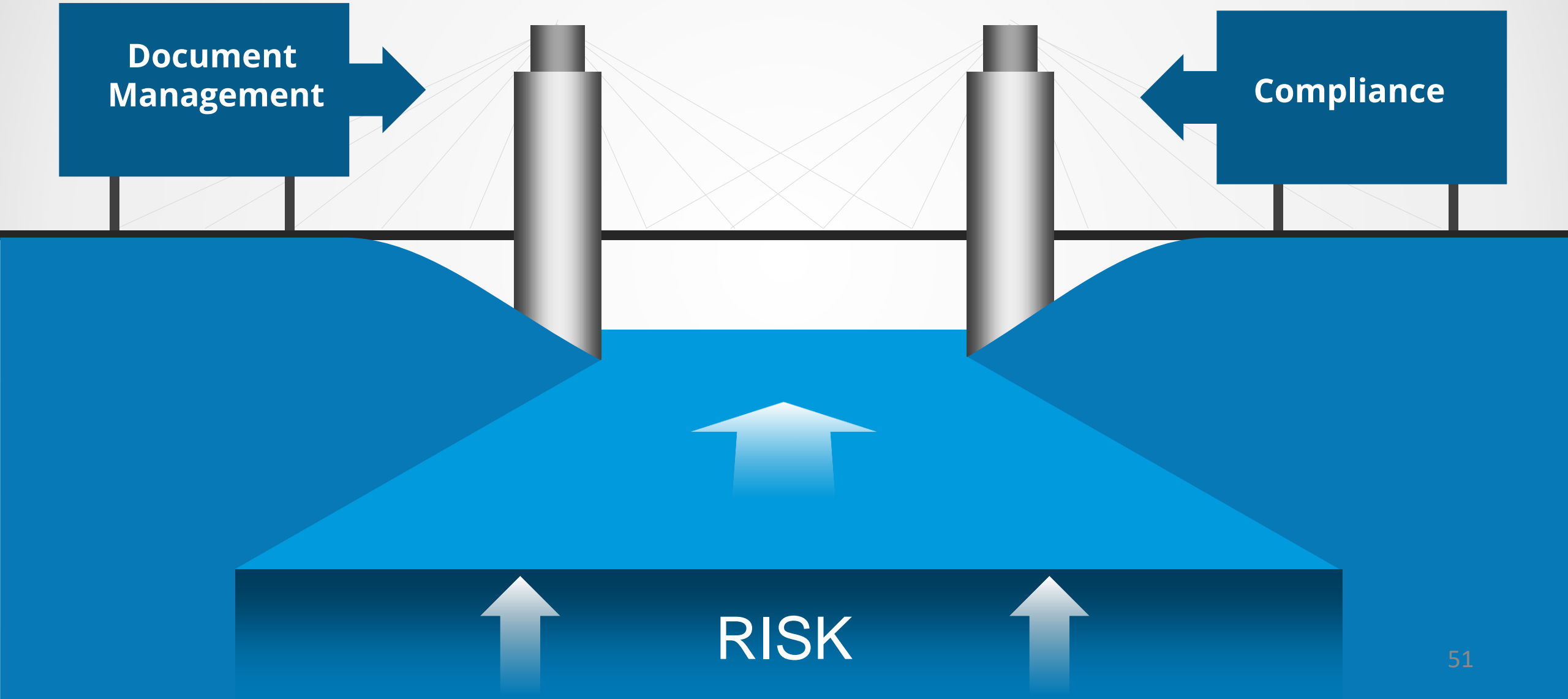
DMS for Institutional Effectiveness & Research Documentation

- **Qualtrics & Watermark Planning & Self-Study** – Supports accreditation self-study processes and research data documentation.
- **Digital Measures** (Faculty Success by Watermark) – Helps track faculty research, teaching, and accreditation evidence.
- **SPOL** (Strategic Planning Online) – Used for accreditation, assessment, and institutional effectiveness tracking.
- **TK20 by Watermark** – A comprehensive solution for program assessment and accreditation reporting..

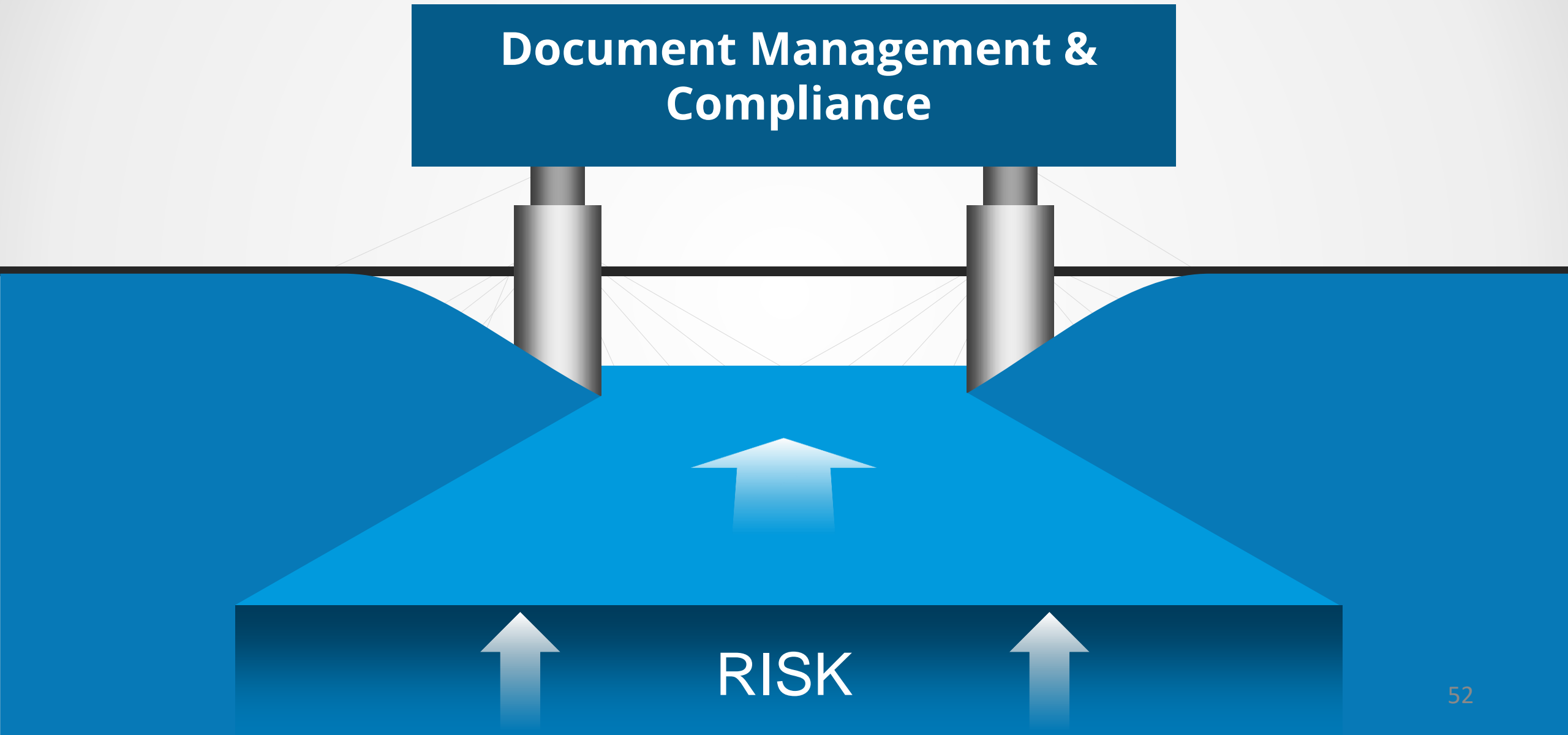


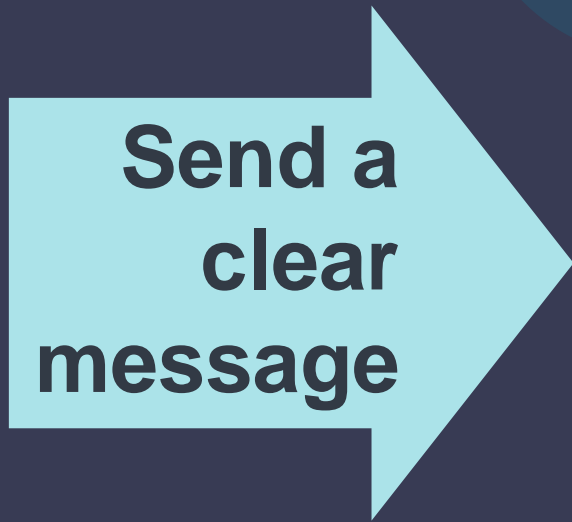
BALANCE

Document Management & Compliance Bridge



Document Management & Compliance Bridge





**Integrating Document Management
And Compliance into Everyday
Practices to Strengthen
Accreditation in Academic Programs**

Document Management & Compliance Roadmap





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