Best Practice Auditing

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Department of Enrolment and Student Administration

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Introduction

Maintaining accurate and complete student records is critical for educational institutions.

Conducting regular audits helps identify and address discrepancies, ensuring the integrity of student data and supporting informed decision-making.

Importance of Accurate Student Records

1   **Compliance**

Adhering to regulatory and administrative requirements for student records management.

2   **Data Integrity**

Ensuring the accuracy, completeness, and reliability of student information.

3   **Informed Decisions**

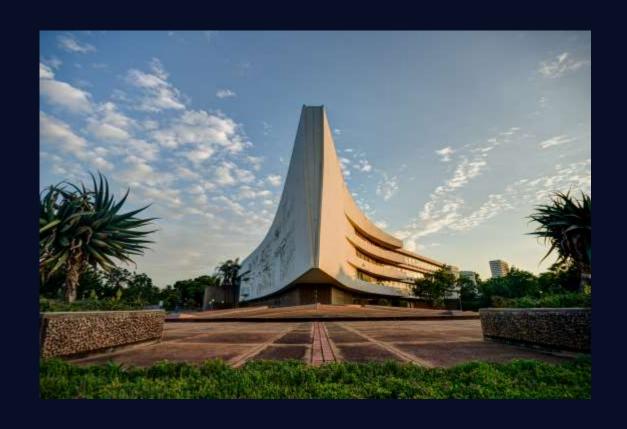Enabling data-driven decisions that support student success and institutional goals.

4   **Accountability and Accreditation**

Accurate student records are essential for demonstrating accountability and meeting accreditation requirements.

Identifying Discrepancies and Errors

Missing Information

Identifying incomplete or missing data, such as missing/incorrect credits or outstanding grades, incorrect years of study, finalist indicator, or requirement term

Inconsistent Data

Detecting discrepancies between records, such as academic plan totals, career number or academic history.

Compliance Issues

Ensuring records adhere to institutional policies and regulatory requirements.

Data Entry Errors

Identifying inaccuracies introduced during the data entry or record-keeping process.

Challenges at UP

- Processing errors

- Eligible students are overlooked for graduation

- Identification of students with incorrect credit registration

- Discrepancies in practices among faculty administrators

Our Objective:

To establish structured processes to aid Faculty Administrators in identifying and auditing potential graduates.

1. uphold uniformity,

2. Streamline operations, and

3. Enhance the efficiency of student record audits – spanning from 1st to final year students

Gathering and Reviewing Student Records

1 Data Collection

Run PeopleSoft queries to identify June/November Finalists

2 Record Verification

Carefully reviewing each record to ensure accuracy, completeness, and compliance and ensuring that students have enough credits to complete their degree (Credit List)

3 Documentation

Maintaining detailed records of the audit process and any discrepancies found.

Data Collection: PeopleSoft Query

- Run a query to list all registered students for all academic years– identify all possible graduates

- Change finalist indication to June/November respectively

- Run the June/November finalist query and identify and rectify any discrepancies

Discrepancies:

- Incorrect Academic Level

- Incorrect Finalist Indicator

- Incorrect Number of years

- Missing credits

- Too many credits

Calculates total accumulated credits vs overall total

UP Finalist Query

Acad Group	ID	Name	Status	Career	Acad Prog	Acad Plan	Descr	Plan Descr	Final Ind	Acad Level	Req Term	No of Years	Reg. Date	Passed Units	Int Units	Ext Units	In Progress Units	Total Units	Plan Units Required	Diff
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130012	BCom	Econometrics	Nov	Final	2021	4	2024/01/30	362			54	416	416	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130012	BCom	Econometrics	Nov	Final	2021	4	2024/01/11	362			54	416	416	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130012	BCom	Econometrics	Nov	Final	2021	4	2024/01/19	350			66	416	416	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130012	BCom	Econometrics	Nov	2nd Year	2022	3	2024/01/02	210			152	362	416	-54
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130012	BCom	Econometrics	Nov	Final	2022	3	2024/02/03	282			134	416	416	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	4	2024/01/16	375			80	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	3	2024/02/04	298			160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	3	2024/01/06	298			160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	3	2024/02/04	298			160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	3	2024/01/04	254	44		160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	4	2024/02/05	295			160	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	5	2024/02/28	404	6		40	450	458	-8
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	3	2024/01/25	290	8		160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	5	2024/02/02	224	190		160	574	458	116
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2018	7	2024/02/01	412			40	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	6	2024/03/04	410			40	450	458	-8
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	6	2024/02/20	410			40	450	458	-8
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2023	5	2024/01/29	241	57		160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	5	2024/01/16	258	37		160	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	6	2024/02/02	269	23		160	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	5	2024/02/20	412			40	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2020	6	2024/02/26	394	19		40	453	458	-5
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	6	2024/01/09	292			160	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	0	2024/02/07	332			120	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	5	2024/01/22	258	37		160	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2019	6	2024/01/17	332			120	452	458	-6
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2022	4	2024/01/15	236	62		160	458	458	0
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2020	5	2024/01/10	293			160	453	458	-5
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2021	5	2024/02/13	248	47		160	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2020	5	2024/02/03	295			160	455	458	-3
EMS	21123456	Name and Surname	AC	UGRD	CB100	7130043	BCom	Accounting Sciences	Nov	Final	2023	4	2024/01/03	236			160	396	458	-62

Record Verification: Credit List

NAME:	Test		Run Date:	04/24/2024			GPA 2023: 79.250		GPA :
EMPLID:			Program Status:	CM - Completed Program			GPA 2022: 78.959		GPA :
Acad Program:	CB100 - BCom		Academic Standing:	COMP	Nr Years:	3	GPA 2021: 83.032		GPA :
Acad Plan:	07130043 - Accounting Sciences		Finalist Indication:	November Finalist	Library:		GPA :		GPA :
Acad Level:	FIN		Exemption Date:	02/20/2021 - Admit to Bachelor's Degree	Finance:		GPA :		GPA :
Email:	@tuks.co.za		Cell:	0500022					

Career	Term	Nbr	Acad Prog	Acad Plan	Description	Status	Finalist Indication	Acad Level	Nr of years	Registr Date	Admit Type
GENP	2024	0	CP103	07220136	PGDip in Accounting Sciences A	Active	November Finalist	Final	1	01/18/2024	New
UGRD	2023	0	CB100	07130043	BCom Accounting Sciences	Completed	November Finalist	Final	3	01/12/2023	Returning
UGRD	2022	0	CB100	07130043	BCom Accounting Sciences	Active	Not a Finalist	2nd Year	2	02/07/2022	Returning
UGRD	2021	0	CB100	07130043	BCom Accounting Sciences	Active	Not a Finalist	1st Year	1	03/03/2021	New

\# - Dropped   * - In Progress $ - Excluded   @ - Course is not in Fixed Curriculum

This is a list of modules passed and currently registered. Please note that it is your responsibility to verify if the modules and credits are correct and sufficient to comply with degree requirements as published in the yearbook concerned. Consult Student Administration for confirmation.

Term	Sub	Cat	Ses	Grd	Crdt	Term	Sub	Cat	Ses	Grd	Crdt	Term	Sub	Cat	Ses	Grd	Crdt	Term	Sub	Cat	Ses	Grd	Crdt
2021	AIM	111	S1	90	4	2022	BEL	200	Y1	83	32	2023	BEL	300	Y1	83	40						0
2021	AIM	121	S2	90	4	2022	BPE	211	S1	84	6	2023	FBS	300	Y1	76	40						
2021	ALL	124	S2	78	6	2022	FBS	200	Y1	71	32	2023	FRK	300	Y1	77	40						
2021	EKN	110	S1	89	10	2022	FRK	201	Y1	71	32	2023	ODT	300	Y1	81	40						
2021	EKN	120	S2	83	10	2022	INF	264	S1	97	8												
2021	FBS	121	S2	68	10	2022	KOB	283	Q3	78	5												
2021	FRK	101	Y1	71	24	2022	KRG	200	Y1	93	24												
2021	INF	112	S2	70	10	2022	ODT	200	Y1	75	32												
2021	INF	183	Y1	81	3																		
2021	KRG	110	S1	94	10																		
2021	KRG	120	S2	95	10																		
2021	OBS	114	S1	91	10																		
2021	STK	110	S1	97	13																		
2021	UPO	107	Y1	997	0																		
	Student Total:				124						171						160						
	Plan Total:				122						171						160						
	Total for Student:				455																		
	Total for Plan:				450																		

Best Practice Recommendations

Comprehensive Audits

- Comprehensive audit policies and procedures

- Regular schedule of audits for student records

- Key areas

Cross-Functional Collaboration

- Collaboration and communication

- Share information, best practices, and lessons learned

- Feedback

Continuous Improvement

- Culture of continuous improvement to refine record-keeping processes.

- Training opportunities

- Knowledgeable staff

Conclusion

By implementing these best practice recommendations, higher education institutions can:

- strengthen student record auditing processes,

- mitigate risks, and

- ensure compliance with regulatory requirements,

Ultimately supporting student success and institutional excellence.