Preparing for Admissions in the New World

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Polling Question

Which team do you think will win the Superbowl?

- Tampa Bay Buccaneers
- Kansas City Chiefs

Learning Objectives

1. Discuss admission processes, current and in the “New World”

2. Identify the foundational internal controls and systems for admissions processes

3. Discuss how data analytics can be leveraged to test controls, evaluate admissions outcomes, and identify fraud

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Director of Audits – Florida State University Inspector General Services

Janice has over 37 years of experience in financial and compliance, operational, performance, and information systems auditing, and policy analysis. She joined FSU in 2006 after 23 years with the Florida Legislature. She received her bachelor's degree from Albion College (Michigan), followed by an MBA and second bachelor's (accounting), both from FSU.

Emily A Knopp, CPA, CISA

Audit Director - Texas Tech University System

Emily has 18-plus years of audit experience. Since joining her alma mater, Texas Tech, she has assisted in developing and expanding the IT audit footprint across the Texas Tech System. Ms. Knopp has also served on the boards of the South Plains and San Angelo chapters of the Texas Society of CPAs, Texas Association of College and University Auditors, and Tom Green County Relay for Life.

Miles Hitchcock, IAP

Product Marketing Manager

Wolters Kluwer TeamMate

Since joining TeamMate he has worked as a Consultant analyzing auditor department's needs and turning that into a best in class TeamMate+ configuration. As Product Marketing Manager Miles helps turn the needs of the audit industry into a TeamMate+ product roadmap.

Agenda

- Understanding Your Processes
- Identifying Internal Controls
- Leveraging Data Analytics
- Key Takeaways

Understanding Your Processes

Admission Programs

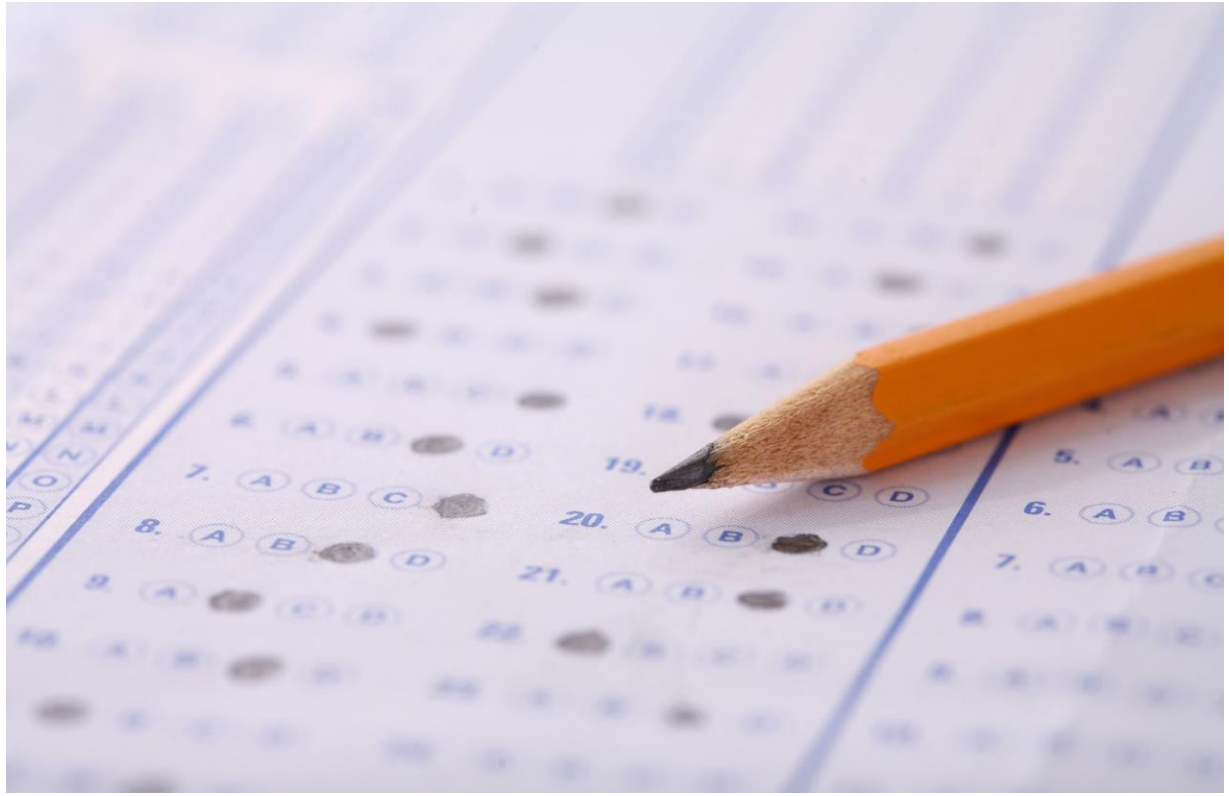
- Undergraduate
- Graduate
- Professional School
  - Medical
  - Law
  - Pharmacy
  - Nursing
  - Physical Therapy
  - Other
- Special Programs
  - Bridge programs
  - Pre-professional programs
  - Community College Partnerships
  - Other

Types of Admissions

- Regular – Deadline
- Rolling Admissions
- Early Admissions
- Open Admissions
- Contingent
- Auto-acceptance
- Deferred

Historical approach to admissions

- More emphasis on quantitative information
  - GPA
  - Standardized Test Scores
  - Law or Regulation Based
- Less emphasis on qualitative
  - Success and Achievements
  - Academic Rigor



Polling Question

Have you observed that admission processes at your university have changed, given the pandemic and this “new world” in higher education?

- Yes, admission processes have changed
- No, admission processes remained static
- Unsure

New Approaches to Admissions

- More emphasis on qualitative
  - Holistic Admission
    - Soft Skills
    - Resume
    - Interview
    - Community involvement
    - Personal statement
    - Life experiences
- Less emphasis on quantitative

For more information go to: https://professionals.collegeboard.org/pdf/understanding-holistic-review-he-admissions.pdf

Impact of Data Analytics

- Identify non-compliance
- Identify internal control gaps
- Identify fraud, waste and abuse
- Evaluate admissions results

Identifying Internal Controls

Access Control

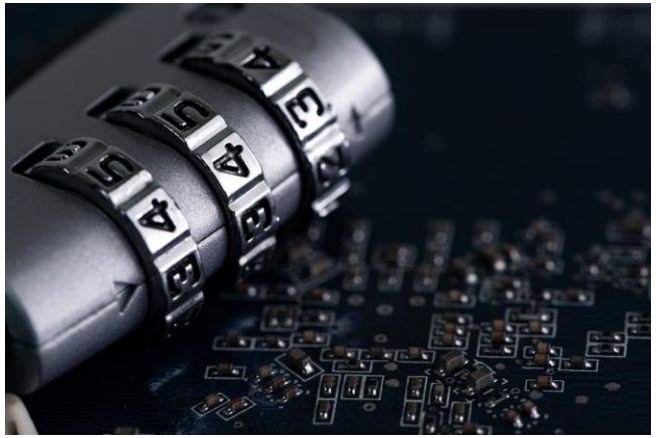
- Principle of Least Privilege
- Approach to Access – role based versus direct grants
- Annual Access Reviews
- Restrict Access to critical processes and data

- What changes in the “new world”?
  - Not much…but be mindful of
    - Unauthorized access
    - Remote access through personal devices
    - Unpatched systems

Information Transfer

- Encrypted
- Stored Securely
- Secure Transmission
- Dedicated Secure Portal
- Secure Video Platforms

- What changes in the “new world”?
  - Not much…but be mindful of
    - Data security
    - Data flows
    - Privacy



Technical Process

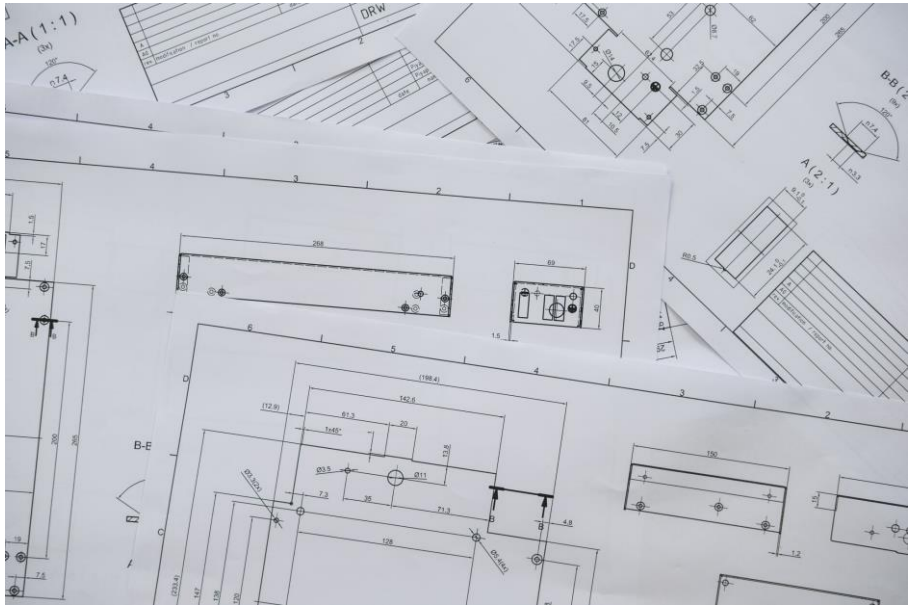
- Receipt of test scores
- Receipt of transcripts
- Account creation

- What changes in the “new world”?
  - More high schools provide transcripts electronically
  - Stronger identify verification practices

Documentation

Document the Process

- Enrollment strategies
- Information Collection, Transfer, and Security
- Criteria, Application Review, Decision Making, Approval



Document Basis for Admit/Deny

- Quantitative Only
- Personal attributes and experience
- Other (scholarship $$ not available)

Fraud Risk

- Inconsistent practices
- Erroneous/Inflated admissions counts
- Lost revenue from unapproved tuition waivers

- What changes in the “new world”?
  - Increased documentation of decisions
  - Enhanced verification procedures
  - Increased oversight of the application of tuition waivers

Leveraging Data Analytics

Polling Question

Are you currently utilizing data analytic techniques to audit admissions processes?

- Yes, routine analytics are defined and utilized
- No, but plan to use data analytics in the next engagement
- No and have no plans to use data analytics
- Unsure

Increasing Your Use of Analytics

- Compliance with admission standards
  - Auto-acceptance
  - Minimum GPA requirements
  - Test Score requirements
- Compliance with admission processes
  - File review
  - Appeal
- Fictional students/False Identities
- Probability of an admit/deny decision v actual results (Logistic regression)

Understanding your population

- Incentives
- Unique Programs
- Financial Aid Packaging
  - Scholarships
  - Title IV Programs

- Data Fields
  - Type of admission
  - Test scores
  - GPA
  - Dates (submission, admittance)
  - Demographic and biographic indicators

Using Data Analytics

- Non-compliance with Admission Standards
  - Test scores
  - GPA
  - Late admissions
  - Assured admissions (top 10%-25%)
- Non-compliance with Admission Processes
  - File reviews
- Fictious students
- Incorrect ethnicity indicators

Using Logistic Regression

- Post Audit tool
- Simple and efficient
  - Relationship between measurable characteristics and outcome
    - Characteristic (e.g. GPA, Test Score, Residence, Class Ranking)
    - Outcome
      - Admit/Deny: 0/1
  - Predicts the probability of an admit/deny decision

Example of Logistic Regression

- Population
  - 1462 applicants
- Accuracy
  - Acceptance 78%
  - Denials 90%
  - Overall 86%

Prediction	Actual	
	Accepted	Denied
Acceptance	395	96
Denial	**110**	861

Understanding your results

- Expected / Unexpected Results
- Correlation to Other Information
  - Revenue
  - Actual enrollment/SCH
- What is the story that the data is tell?
  - Human error
  - Broken process
  - Undocumented decisions

Polling Question

Given the potential changes, are you planning to review admissions processes at your university?

- Yes, already planned
- Yes, but in the next two years
- No, campus environment not yet stable
- Unsure

Key Takeaways

Successfully navigating admissions post COVID

- Understand your environment and what changes are being made
  - E.g. types of admissions, admission standards and enrollment goals
- Recognize that changes in processes and controls leads to changes in analytics
  - E.g. weight assigned to specific test scores
- Understand your results
  - E.g. don’t jump to conclusions

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Questions?

Type your questions
into the chat to submit them.

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