



Academic Quality

1. Innovative, Quality Programs for Academic Excellence



*Support continuous improvement in the management, operations and allocation of resources to the University's academic programs.*

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management, operations and allocation of resources to academic programs, e.g. annual audits Faculties on a rotational basis. Evaluate the University's progress in meeting the academic quality goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on the change, innovation and quality of academic programs.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in academic quality and the risk exposures/trends in this area.	 On Track

Academic Quality

2. Advancing Exploration, Innovation and Achievement in Scholarship, Research and



*Support continuous improvement in the management, operations and allocation of resources to the University's research endeavour.*

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management, operations and allocation of resources to research, e.g. audits of research services, Organized Research Units, and research facilities. Evaluate the University's progress in meeting the research goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on the University's research endeavour.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in research and the risk exposures/trends in this area.	 On Track

Student Success

**Internal Audit**



***Support continuous improvement in the management, operations and allocation of resources to teaching and student learning.***

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management, operations and allocation of resources to teaching and student learning, e.g. audits of classroom technology, student mobility programs, experiential learning, etc. Evaluate the University's progress in meeting the teaching and learning goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on teaching and learning initiatives.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in teaching and learning and the risk exposures/trends in this area.	 On Track

**Student Success**

**4. A Student-Centred Approach**

***Support continuous improvement in the management, operations and allocation of resources to student-centred supports.***

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management, operations and allocation of resources in student support areas, such as: Student Advising Recruitment and Admissions Student Community Development Student Financial Services Career Centre Counselling and Disability Services Evaluate the University's progress in meeting the student success goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on student success.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in student success and the risk exposures/trends in this area.	 On Track



**Engagement and Outreach**

**5. Enhanced Campus Experience**

**Internal Audit**

**PLANID:** 1133



*Support continuous improvement in the management and operation of the University's campuses, and in the utilization of space.*

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management and operation of the campuses and utilization of space, such as: Capital projects Facility renovations and maintenance Space planning Campus safety Sustainability Evaluate the University's progress in meeting the campus experience goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on the campus experience.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in enhancing the campus experience and the risk exposures/trends in this area.	 On Track

**Engagement and Outreach**

**6. Enhanced Community Engagement**


*Support continuous improvement in the management of University engagement, outreach and inclusivity.*

Action/Strategy	Measurable/Milestone	Status
Conduct audits relating to the management University engagement and outreach, such as: Centre for Human Rights, Equity and Inclusion Community Safety York International Student organizations Student engagement Evaluate the University's progress in meeting the engagement and outreach goals identified in the University Academic Plan.	Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans.	 On Track
Through Enterprise Risk Management (ERM), provide regular updates to senior management and the Board of Governors on engagement and outreach.	The ERM Risk Reports provide senior management and the Board ongoing information on the University's progress in enhancing engagement and outreach and the risk exposures/trends in this area.	 On Track


**Enabling the Plan**

**7. Enabling the Plan**


**Empower staff with appropriate career and skills development**

Action/Strategy	Measurable/Milestone	Status
<p>1. Improve learning and development opportunities for the Internal Audit team by identifying relevant training courses/seminars for staff 2. Continue to enhance the Computer Assisted Audit Techniques (CAATs) used in data analysis and audit work 3. Maintain and enhance Internal Audit processes and documentation, including permanent files and audit programs, to ensure the timely and professional execution of the Internal Audit function 4. Communicate on a regular basis with the Internal Audit departments of other universities and institutions to share ideas and best practice</p>	<p>Concrete, data-driven audit evidence that supports audit findings and recommendations Audit work complies with the Institute of Internal Auditors (IIA) standards, including the systematic planning, execution and documentation of audit work The external auditor's re-testing (on regulatory audits) replicates the results obtained by Internal Audit, which supports the accuracy of audit results York's Internal Audit department is respected and consulted on a regular basis, in recognition of its contribution to the profession of internal auditing Internal Audit's contribution is expressly acknowledged by the Board of Governors, UEC and PVP</p>	<p> Progressing</p>


**Facilitate the Enterprise Risk Management initiative and support risk-based decision-making.**

Action/Strategy	Measurable/Milestone	Status
<p>Facilitate the ERM initiative at the University including: Conducting risk assessments with PVP and UEC Preparing bi-annual risk monitoring reports for the Board Helping management utilize the ERM tools in decision-making</p>	<p>The ERM initiative provides senior management and the Board ongoing information on the University's strategic risk exposures and trends.</p>	<p> On Track</p>

**Improve University systems, processes, structures, and services to maximize quality, productivity and efficiency.**


Action/Strategy	Measurable/Milestone	Status
<p>Conduct audits of University systems, processes, structures and services, such as: Human Resources Facilities Finance Information Technology Academic administration</p>	<p>Audit findings and recommendations identify areas for improvement and obtain buy-in from senior management (VPs, AVPs, Deans, Directors) who respond with meaningful action plans. Over time, improved University systems, processes, structures and services as demonstrated by enhanced consistency, clarity, efficiency and client satisfaction.</p>	<p> On Track</p>

**Provide new data analytics to improve decision-making and optimize the allocation of resources.**

Action/Strategy	Measurable/Milestone	Status
<p>Conduct data analyses to ensure that resources are being used effectively and efficiently in support of priorities, e.g. space utilization, staffing levels, teaching load allocations, research metrics and investments, etc.</p>	<p>Management finds analyses useful in its decision-making, and there is clear evidence they have utilized the data in making decisions Internal Audit's analyses are utilized in University initiatives such as IIRP and help support resource optimization.</p>	<p> Completed</p>

***Safeguard University assets to support financial sustainability.***

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Action/Strategy	Measurable/Milestone	Status
Maintain a robust fraud risk assessment program and related audits aimed to detect and prevent fraud	An up-to-date fraud risk assessment identifying the high-level risk areas A continuous auditing framework focusing on high-risk areas	 On Track

