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.

Strategy/Action	Measure/Milestone		
Conduct audits relating to the management, operations and allocation of resources to academic programs, e.g. annual audits of 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 related Creative

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

Strategy/Action	Measure/Milestone		
Conduct audits relating to the management, operations and framework for the 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

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

Strategy/Action	Measure/Milestone		
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.

Strategy/Action	Measure/Milestone

| 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

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

Strategy/Action	Measure/Milestone	
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.

Strategy/Action	Measure/Milestone		
Conduct audits relating to the management of 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

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

Strategy/Action	Measure/Milestone		
Conduct audits of University systems, processes, structures and services, such as: Human Resources Facilities Finance Information Technology Academic administration	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.	🟢	On Track

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
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.	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 Service Transformation and help support resource optimization.	🟢	On Track
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	The ERM initiative provides senior management and the Board ongoing information on the University's strategic risk exposures and trends.	🟢	On Track
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	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	🟡	Progressing
1. Provide key data to inform the service transformation teams and play an active role in identifying process enhancements. 2. Incorporate the identification of service enhancements in the individual audits conducted, as well as our own Continuous Audit Program.	Concrete, data-driven evidence that identifies areas of focus for the service transformation teams. Efficiency enhancements in the overall institutional compliance efforts.	🟢	On Track