

DIVISION: Division of the VP Finance and Administration

UNIT: Internal Audit

PLAN ID: 1382



1. 21st Century Learning

Conduct audits and reviews in support of the continuous improvement of the management, allocation and utilization of resources across the institution, including reviewing key business processes behind enhanced learning opportunities, pedagogical innovatio

Action/Strategy:

Deliver on the audit plan that includes audits relating to the management, operations and allocation of resources to the units and functions responsible for program innovation and diversification such as:

- Teaching Commons
- Innovation York

Assess progress on the University's initiatives related to this UAP priority.

Measures/Metrics/Milestones:

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.

Evaluation Status:

 On Track

Facilitate the University's Enterprise Risk Management function to provide senior leadership and the Board with a view on the status of key strategic risks as they relate to UAP priorities.

Action/Strategy:


Report bi-annually to senior management and the Board of Governors on the status of key strategic risks as they relate to UAP priorities, as well as mitigating actions planned and/or underway.

Facilitate a risk identification and assessment workshop with UEC to identify the key strategic risks that could prevent achievement of UAP priorities. Subsequently, facilitate annual risk reassessments with PVP to update the University's risk landscape as it relates to the top strategic risks

Measures/Metrics/Milestones:

The bi-annual ERM Risk Monitoring Reports provide senior management and the Board ongoing information on the University's progress in the risk exposures/trends in this area.

Evaluation Status:

 On Track

 On Track

2. Knowledge for the Future

Conduct audits in support of the optimization of the management, allocation and utilization of resources across the institution, including reviewing key processes enabling knowledge creation and mobilization.

Action/Strategy:

Measures/Metrics/Milestones:

Evaluation Status:

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Deliver on planned audits relating to the management, operations and allocation of resources in support of knowledge creation and mobilization through research including:

- Research Inputs vs Outputs
- Innovation York
- Organized Research Units

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

Assess progress on the University's initiatives related to this UAP priority.

Facilitate the University's Enterprise Risk Management function to provide senior leadership and the Board with a view on the status of key strategic risks as they relate to UAP priorities.

Action/Strategy:

Report bi-annually to senior management and the Board of Governors on the status of key strategic risks as they relate to UAP priorities, as well as mitigating actions planned and/or underway.

Measures/Metrics/Milestones:

The bi-annual ERM Risk Monitoring Reports provide senior management and the Board ongoing information on the University's progress in the risk exposures/trends in this area.

Evaluation Status:

On Track

Facilitate a risk identification and assessment workshop with UEC to identify the key strategic risks that could prevent achievement of recently approved UAP priorities. Subsequently, facilitate annual risk reassessments with PVP to update the University's risk landscape as it relates to the top strategic risks

Lead the risk identification and assessment workshop and refresh the tools used for reporting to senior management and the Board of Governors. Thereafter, facilitate annual refreshments of the risk landscape with PVP.

On Track

3. From Access to Success

Conduct audits in support of the optimization of the management, allocation and utilization of resources across the institution, including reviewing key processes enabling student success and diverse and inclusive academic experience.

Action/Strategy:

Measures/Metrics/Milestones:

Evaluation Status:

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Deliver audits relating to the management, operations and allocation of resources in support of overall student success including:

- Office of Student Success
- Student System Renewal Program
- Enrolment Management
- Student Data Management

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

Assess progress on the University's initiatives related to this UAP priority.

Facilitate the University's Enterprise Risk Management function to provide senior leadership and the Board with a view on the status of key strategic risks as they relate to UAP priorities.

Action/Strategy:

Report bi-annually to senior management and the Board of Governors on the status of key strategic risks as they relate to UAP priorities, as well as mitigating actions planned and/or underway.

Measures/Metrics/Milestones:

The bi-annual ERM Risk Monitoring Reports provide senior management and the Board ongoing information on the University's progress in the risk exposures/trends in this area.

Evaluation Status:

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Lead the risk identification and assessment workshop and refresh the tools used for reporting to senior management and the Board of Governors. Thereafter, facilitate annual refreshments of the risk landscape with PVP.

On Track

4. Advancing Global Engagement

Conduct audits in support of the optimization of the management, allocation and utilization of resources across the institution, including key processes enabling global engagement.

Action/Strategy:

Deliver on audits relating to the management, operations and allocation of resources to the expansion of the University's internationalization of faculty, and curriculum student body.

Measures/Metrics/Milestones:

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.

Evaluation Status:

On Track

Assess progress on the University's initiatives related to this UAP priority.

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Action/Strategy:

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Measures/Metrics/Milestones:

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Evaluation Status:

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Lead the risk identification and assessment workshop and refresh the tools used for reporting to senior management and the Board of Governors. Thereafter, facilitate annual refreshments of the risk landscape with PVP.

On Track

5. Working in Partnership

Conduct audits in support of the optimization of the management, allocation and utilization of resources across the institution, including reviewing key processes that support community engagement and ensure adequate governance.

Action/Strategy:

Deliver audits relating to the management, operations and allocation of resources in support of improved community engagement and strong governance including:

- Office of the Secretariat
- Community Impact
- Organizational Culture

Measures/Metrics/Milestones:

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.

Evaluation Status:

On Track

Assess progress on the University's initiatives related to this UAP priority.

Facilitate the University's Enterprise Risk Management function to provide senior leadership and the Board with a view on the status of key strategic risks as they relate to UAP priorities.

Action/Strategy:

Measures/Metrics/Milestones:

Evaluation Status:

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Report bi-annually to senior management and the Board of Governors on the status of key strategic risks as they relate to UAP priorities, as well as mitigating actions planned and/or underway.

The bi-annual ERM Risk Monitoring Reports provide senior management and the Board ongoing information on the University's progress in the risk exposures/trends in this area.

On Track

Facilitate a risk identification and assessment workshop with UEC to identify the key strategic risks that could prevent achievement of recently approved UAP priorities. Subsequently, facilitate annual risk reassessments with PVP to update the University's risk landscape as it relates to the top strategic risks.

Lead the risk identification and assessment workshop and refresh the tools used for reporting to senior management and the Board of Governors. Thereafter, facilitate annual refreshments of the risk landscape with PVP.

On Track

6. Living Well Together

Provide advisory support for the continuous improvement in the management, operations and allocation/utilization of resources deployed in support of the University's commitment to making positive changes across the HR, virtual and physical environments.

Action/Strategy:

Conduct advisory and audit engagements in support of positive changes to the HR, virtual and physical environment in areas such as:

- Facilities Management
- Financial processes
- Equity and accessibility
- Safeguarding and optimization of resources
- Information Technology

Measures/Metrics/Milestones:

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.

Evaluation Status:

On Track

Incorporate the renewed vision for service excellence in the audits conducted to support the advancement of the improvement strategy across all major initiatives.

Over time, improved University systems, processes, structures and service culture as demonstrated by enhanced consistency, clarity, efficiency and client satisfaction.

On Track

Facilitate the University's Enterprise Risk Management function to provide senior leadership and the Board with a view on the status of key strategic risks as they relate to UAP priorities.

Action/Strategy:

Report bi-annually to senior management and the Board of Governors on the status of key strategic risks as they relate to UAP priorities, as well as mitigating actions planned and/or underway.

Measures/Metrics/Milestones:

The bi-annual ERM Risk Monitoring Reports provide senior management and the Board ongoing information on the University's progress in the risk exposures/trends in this area.

Evaluation Status:

On Track


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Facilitate a risk identification and assessment workshop with UEC to identify the key strategic risks that could prevent achievement of recently approved UAP priorities. In subsequent years, facilitate annual risk reassessments with PVP to update the University's risk landscape as it relates to the top strategic risks.

Lead the risk identification and assessment workshop and refresh the tools used for reporting to senior management and the Board of Governors. Thereafter, facilitate annual refreshments of the risk landscape with PVP.

 On Track

7. Answering the Call

Support continuous improvement in the processes underlying the University's contribution to the UN Sustainable Development Goals including reviewing and assessing resource deployment and management.

Action/Strategy:

Conduct advisory and audit engagements in support of the University's contribution to the UN Sustainable Development Goals.

Measures/Metrics/Milestones:

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.

Evaluation Status:

 On Track