



Internal Audit Performance Results

The compliance attributes detailed below are intended to show an external audience that deputy heads are receiving assurance that activities are managed in a way that demonstrates responsible stewardship.

The Corporate Internal Audit Division's qualifications as of November 15, 2021

Definition of the attribute: NSERC internal auditors have the training required to do the job effectively.

Key Elements of Oversight	Key Compliance Attribute	Performance Results
Internal auditors are trained to effectively perform the work.	% of staff with an internal audit or accounting designation (Certified Internal Auditor (CIA), Chartered Professional Accountant (CPA))	80%
	% of staff with an internal audit or accounting designation in progress (CIA, CPA)	20%
	% of staff holding other designations (Certified Government Auditing Professional [CGAP], Certified Information Systems Auditor [CISA], etc.)	40%
Audit work is performed in conformance with the international standards for the profession of internal audit as required by Treasury Board policy.	Date of last comprehensive briefing to the Departmental Audit Committee on the internal processes, tools, and information considered necessary to evaluate conformance with the IIA Code of Ethics and the Standards and the results of the quality assurance and improvement program (QAIP)	October 2020
	Last external assessment date	December 2019
Internal audit is credible and adding value in support of the organization's mandate and strategic objectives	The average overall usefulness rating from senior management	4.5 out of 5

Active audits and status of Management Action Plans (MAPs)

Definition of the attribute: NSERC Risk-Based Audit Plans submitted to audit committees and approved by deputy heads are implemented as planned, with resulting reports published. Management is acting on audit recommendations for improvements to departmental processes.

Table 1: Internal audits for 2021-22 as per NSERC’s Risk-Based Audit Plan

Internal Audits						
	Internal Audit Title	Audit Status	Report Approval Date	Report Published Date	Original Planned MAP Completion Date	Implementation Status
1	Audit of PromoScience Program	Published	July 27, 2018	September 26, 2018	March 2019	100%
2	Audit of IT Security	Published	July 23, 2021	October 20, 2021	March 2022	25%
3	Audit of CFREF	Published	July 23, 2021	October 8, 2021	MAP 1 – Fall 2022 MAP 2 – Spring 2022 MAP 3 – September 2022	0%
4	Audit of Tri-Agency Grants Management Solution (TGMS) Initiative – Phase I	In-progress	N/A	N/A	N/A	N/A
5	Independent Assessment of the Canada Research Chairs Program’s implementation of the 2019 Addendum to the 2006 Canadian Human Rights Settlement Agreement	Planned	N/A	N/A	N/A	N/A
6	Audit of Tri-Agency Grants Management Solution (TGMS) Initiative – Phase II	Planned	N/A	N/A	N/A	N/A



2021 NSERC – Internal Audit Performance Results.
The Honourable François-Philippe Champagne, P.C, M.P. Minister of Innovation,
Science and Industry
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