



Audit of FP Agreements in 2017

Sérgio Potier Rodeia
Engagement & Cooperation Officer, ENCO

*35th Meeting of the
Focal Point Network*

Thon Conference Universitetsgatan
Oslo, Norway, 18th-19th April 2018

OVERVIEW OF PRESENTATION

- **Background and Legal Basis**
- **Audit of FP Grants in 2017**
 - **Preparatory activities**
 - **Implementation**
- **Main outcomes**
 - **General recommendations on FP tasks**
 - **General recommendations for EFSA audits**
- **Improvements for 2018 audit**

BACKGROUND AND LEGAL BASIS

- **Decision of the Executive Director from 12.04.2016 following proposal from LA/FIN/AFSCO (now ENCO)**
- **Article II.27 of Annex II of FP Grant Agreements (General Conditions)**

"The Authority may carry out technical and financial checks and audits in relation to the use of the grant..."

AUDIT OF THE FP GRANTS IN 2017 – PREPARATORY ACTIVITIES

- **Evaluation Committee** made up by representatives from LA, FIN and ENCO
- **Objectives** of the audit in 2017:
 - Focus on 3 main tasks out of 6
 - Focus on 3 mandatory activities out of 11
 - Focus on 5 examples of requests for dissemination sent to FPs per audited activity
 - Evaluate FP performance on sampled activities
 - Test revised audit template
- **Choice of countries:** risk-based matrix applied

AUDIT OF THE FP GRANTS IN 2017 – IMPLEMENTATION

- **Submission of FP Report by 31.10.2017**
- **Audit initiated mid of 11.2017:**
 - **Selected FPs informed (2 countries) in 11.2017**
 - **Description of audit procedure + audit template provided in DMS**
 - **Payment of 2017 balance not affected**
 - **Draft audit report sent to FPs in 03.2018 -> 30 days for FP to provide observations**
 - **Final audit report to be submitted to FPs by 05.2018 -> i.e. 60 days after draft audit report**

MAIN OUTCOMES FROM PILOT AUDIT – TASKS

Continuous improvements valid for all FPs:

- **On FP tasks/activities:**
 1. **Timely dissemination** -> max. 10 working days after receipt of request
 2. **Requests not disseminated** -> create log with reason for non dissemination
 3. **Choice of tool for dissemination** -> maximize outreach & impact on target audience
 4. **Use of national FP website** – consider use of dynamic content (in addition to static content) + set business continuity plan if unavailable

MAIN OUTCOMES FROM PILOT AUDIT – AUDIT REPORTS

Continuous improvements valid for all FPs:

- On audit reports:
 1. **Completeness** - provide information in audit template **even if activity is not carried out** + justification (or alternative dissemination tool)
 2. **Readability** - in case documental evidence is not in English, provide **short description in English** of content on audit template
 3. **Precision** – read **carefully** the sampled activity and **report facts** concerning exclusively that activity + **raise questions** if activity not clear

WAY FORWARD FOR 2018 AUDIT ACTIVITIES (EFSA)

1. **No. of countries** to be audited in 2018 -> already **pre-defined** and based on **risk matrix**
2. Ensure **fitness for purpose** and **cost-effectiveness**
3. Audit input to **future FP Agreements (2019-2022)** ->
 - Agree on **mutual expectations** + on **mechanisms to measure performance**, namely through, e.g.:
 - ✓ **clear & precise rules for implementing activities**
 - ✓ **KPIs allowing monitoring & measuring FP performance (individually) and impact (globally)**