



Audit of FP Agreements in 2017

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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)