Invitation Letter to BTSF National Contact Points seeking applications for BTSF training activities on **Audit systems and internal auditing** **2017/96/06**

1. *Course objectives*

General objective

The general objective of the course is to disseminate best practices for auditing procedures, improve knowledge of this complex area of work and ensure consistent and high implementation standards across the European Union. The training is aimed to assist in developing a consistent approach across the Member States and in providing assurances that the audit findings in different reports are of comparable value.

Specific objectives

- provide knowledge on the requirements of Article 6 of Regulation (EU) 2017/625 and practical solutions for consistent and effective implementation

- provide an in-depth insight of the current and future challenges experienced within the EU control systems in implementing Article 6 of Regulation (EU) 2017/625 and solutions to overcome these challenges.

- provide knowledge on how to ensure a minimum quality level for national audit systems (NAS)

- stress the difference between pure compliance audit and performance audit

- spread good practices between MS in achieving an operational internal audit system which is capable of assessing the suitability and effectiveness of official controls carried out under Regulation (EU) 2017/625

The training will be implemented in 13 training sessions, composed by:

COURSE 1: Setting-up and implementation of an audit system and basics for performing a detailed audit

- 7 training sessions

- addressed to officials of the EU Member States, Candidate Countries, EEA/EFTA countries, Potential Candidate, Eastern neighbouring and Mediterranean basin countries, and selected non- EU countries who are directly involved in the auditing of official controls.

COURSE 2: Developing advanced skills to conduct a detailed audit to verify the effective and suitable implementation of official controls by the relevant control authorities

- 6 training sessions

- addressed to staff of competent authorities of the EU Member States and Candidate Countries involved in official control activities under the NAS.

2. *Training dates and locations*

Every training session will foresee: an opening session in the afternoon on the day of arrival, three full day sessions and a session in the morning on the final day (see Annex 3).
Kindly find below the next scheduled training sessions.

Table 1: Training dates and Location

Training session	Course title	Locations	Proposed dates	Registration deadline
11	2	Rome (Italy)	27 February – 03 March 2023	27 January 2023
12	1	Riga (Latvia)	27-31 March 2023	27 February 2023
13	2	Warsaw (Poland)	01-05 May 2023	03 April 2023

For organisational purposes, the names of participants should be communicated at the latest 30 days before each workshop. A reminder will be sent to NCPs before each event.

3. Selection criteria for participants

Participant must:	1. Fulfil the eligibility criteria
	2. Meet the minimum requirements
	3. Be selected using the evaluation criteria

Inclusion/ Exclusion criteria *(participants who have previously completed the BTSF courses on Auditing of Official Controls should be assessed for eligibility for the training based on the criteria below). Only* **eligible participants** *should be further assessed against the requirements below.* *BTSF Audit of Official Controls Course A, B1, B2:* **excluded** *from Course 1* *BTSF Audit of Official Controls Course A & B1:* **excluded** *from Course 1* *BTSF Audit of Official Controls Course A:* **eligible** *for Course 1*	Eligible/ Excluded

Minimum requirements Participants must meet the minimum requirements below to ensure they can follow and fully participate in this course. Participants who do not meet the minimum requirements should not be proposed for the training.	
Minimum 3 years of professional experience in official control on food/ feed safety, animal health, animal welfare or plant health.	Yes/No
Experience in planning and conducting official control audits	Yes/No

	Evaluation criteria for Course 1	**Max. score**
1)	Professional experience of more than 3 years in official control on food/ feed safety, animal health, animal welfare or plant health. *Scoring* *less than 3 years = 0 points; ≥ 3 years = 5 points; 5 - 10 years = 10 points; > 10 years 12.5 = points*	12.5
2)	Experience as field staff involved in auditing business operators in areas of food/ feed safety, animal health, animal welfare or plant health. *Scoring* *no experience = 0 points; < 2 years = 5 points; 2-5 years = 10 points; > 5 years = 12.5 points*	12.5
3)	Experience in auditing of <u>official controls</u> in areas of food/ feed safety, animal health, animal welfare or plant health. *Scoring* *no experience = 0 points; < 3 years = 5 points 3-6 years = 10 points; > 6 years = 12.5 points)*	12.5
4)	Working experience within the functional areas of a NAS within a Competent Authority. *Scoring* *no experience = 0 points; < 2 years = 5 points; 2-4 years = 10 points; > 4 years = 12.5 points*	12.5
	Maximum total score	**50**

Selection criteria for regular participants for COURSE 2

Inclusion/ Exclusion criteria *(participants who have previously completed the BTSF courses on Auditing of Official Controls should be assessed for eligibility for the training based on the criteria below). Only **eligible participants** should be further assessed against the requirements below.* *BTSF Audit of Official Controls Course A, B1, B2:* **excluded** *from Course 2* *BTSF Audit of Official Controls Course A & B1:* **eligible** *for Course 2* *BTSF Audit of Official Controls Course A:* **eligible** *for Course 2*	Eligible/ Excluded
Minimum requirements *(participants who do not meet the minimum requirements should not be proposed for the training and should not be evaluated according to the selection criteria listed below)*	
Participant must have completed • BTSF Course 1 on Auditing of Official Controls (from 2018 onwards) or • BTSF Course B1 on Auditing of Official Controls (pre-2018) OR Working in functional areas of NAS with a minimum of 2 years of professional experience of setting up and implementing a NAS in a Competent Authority (covering areas of food/ feed safety, animal health or animal welfare or plant health).	Yes/No

	Evaluation criteria for Course 2	**Max. score**
1)	Experience in the setting up of a NAS within a Competent Authority in areas of food/ feed safety, animal health or animal welfare or plant health, in particular areas such as risk-based audit planning and review. *Scoring* *no experience = 0 points; ≥ 3 years = 5 points; 5 - 10 years = 10 points; > 10 years 12.5 = points*	12.5
2)	Experience of implementation of NAS within a Competent Authority in areas of food/feed safety, animal health or animal welfare or plant health, in particular areas such as compliance with planned arrangements and measuring the effectiveness of official controls. *Scoring* *no experience = 0 points; < 2 years = 5 points; 2-5 years = 10 points; > 5 years = 12.5 points*	12.5
3)	Contribution towards drafting of national guidelines, NAS Network reference documents, national laws etc. in the area of NAS. *Scoring* *no experience = 0 points; < 2 years = 5 points; 2-4 years = 10 points; > 4 years = 12.5 points*	12.5
	Maximum total score	**37.5**

Country allocations

Each training session will foresee about 30 seats that will be allocated according to the tables below. Please note that the number of allocated seats for each country may vary. You are welcome to nominate more participants for the reserve list than indicated in the table above. If seats will become available, you will be informed in due time.

Table 2: Suggested allocation for EU Member States and Candidate Countries

	Country	Dates		
		27 February – 3 March 2023	27-31 March 2023	01-05 May 2023
Member States	Austria	1	2	1
	Belgium	1	1	1
	Bulgaria	1	1	1
	Croatia	1	0	1
	Cyprus	1	1	1
	Czech Republic	1	1	1
	Denmark	1	1	0
	Estonia	1	1	1
	Finland	0	1	1
	France	0	1	1
	Germany	1	1	1
	Greece	1	1	1
	Hungary	1	1	1
	Ireland	1	0	1
	Italy	2	1	1
	Latvia	0	2	1
	Lithuania	1	1	1
	Luxembourg	0	1	1
	Malta	1	0	1
	Netherlands	1	1	1
	Poland	1	2	2
	Portugal	1	0	1
	Romania	0	0	0
	Slovakia	0	0	0
	Slovenia	1	0	0
	Spain	1	1	1
	Sweden	1	1	1
Total Member States		**22**	**23**	**24**
Candidate Countries	Albania	1	0	0
	North Macedonia	1	1	1
	Montenegro	1	0	1
	Serbia	0	1	1
	Turkey	1	0	0
Total of Candidate Countries		*4*	*2*	*3*

Global participation EU Member States and Candidate Countries		*26*	*25*	*27*
	Country			
EFTA/EEA/ countries with special agreement	Iceland	0	1	0
	Norway	1	1	1
	Switzerland	0	0	0
	Liechtenstein	0	0	0
	UK (Northern Ireland)	1	1	1
Total EFTA/EEA/countries with special agreements		**2**	**3**	**2**
Potential Candidate Countries, Eastern Partnership, and Southern Neighborhood countries	Bosnia and Herzegovina	1	1	1
	Kosovo*	0	0	0
	Belarus	0	0	0
	Moldova	0	0	0
	Ukraine	0	0	0
	Egypt	1	0	0
	Tunisia	0	0	0
	Morocco	0	0	0
Total Potential candidate countries, Eastern Partnership and Southern Neighbourhood countries		*2*	*1*	*1*
Global participation other non-EU Countries		*4*	*4*	*3*
	Country			
Asian countries	China	0	0	0
	Indonesia	0	0	0
	India	0	0	0
	Thailand	0	0	0
Total Asian countries				
Latin America countries	Argentina	*0*	*0*	*0*
	Brazil	*0*	*0*	*0*
	Chile	*0*	*0*	*0*
Total Latin American countries		**0**	**0**	**0**
Global participation other non-EU Countries		*0*	*0*	*0*

Annex 1: Background and main topics covered in training

Background

Food law, feed law, animal health rules, animal welfare and plant health legislation and requirements are almost fully based on EU law. The development of these rules has enabled the creation of the internal market for food, feed, live animals, and plants, whilst ensuring a high level of consumer protection and of protection of animals and plants. At the international level, the EU legislation referred to above, allows compliance with the international obligations laid down in international agreements, such as those developed by the World Trade Organisation (WTO), Codex Alimentarius, the World Organisation for Animal Health (OIE) and the International Plant Protection Convention (IPPC).

Such a strong EU oriented integration of the legislation and global approach requires a high level of competence and expertise of the controlling authorities, imposing as well high standards on control officials in the Member States when ensuring that official controls are efficient, objective and adequate. The staff of controlling authorities must have a broad knowledge of different hazards (chemical, biological and physical)

that can occur along the feed and food chain. They must also understand the mechanisms of the market in which food and its ingredients can be obtained from many different sources. At the same time, they need to be informed about very specific problems that are inherent to a specific production, processing, conservation and distribution methods. They must be able to identify non-compliance with feed and food safety requirements, or with animal health and animal welfare requirements or with plant health requirements. They must also be able to detect fraudulent practices. Control of feed and food production and marketing, and of animal and plant production and trade, requires a multidisciplinary approach which is strengthened with these training sessions.

In this context, training is an essential tool in order to improve the spreading of knowledge and awareness of EU law in the above-mentioned fields, and to promote a harmonised approach to the operation of EU and national control systems.

Non-EU countries must, when exporting food, feed, live animals, and plants to the EU, provide guarantees that exported consignments were obtained respecting EU legislation and that consignments respect all rules with regards to food safety, feed safety, animal health, plant health and, where appropriate, animal welfare requirements. Respecting these rules is necessary to prevent introduction of animals and plants diseases into the EU. It is therefore essential that non-EU countries, and in particular developing countries (DCs), are informed about these standards which facilitate their access to the EU market and therefore promote EU food safety standards at international level.

Main topics covered in the training

COURSE 1

- What is an Audit, auditing principles, audit types and auditing bodies
- Audits at EU Level. Main findings and recommendations from DG SANTE audits of NAS in MS.
- EU Legal Framework, NAS Reference Documents and International Standards.
- Organization of internal audit systems;

- Fundamental Process of audit under ISO 19011/ 2011. Role of IIA
- Setting up an Internal Audit Function - Organizational requirements - Nature of Audit Process
- Risk Based Audit Programming;
- Implementation of Audit Process
  - Compliance with planned arrangements
  - Effective implementation, Suitability to achieve objectives
  - Audit Reporting and Follow-up; Audit Review and Dissemination of Best Practice
  - Audit Resources, Auditor Competence
- Measuring the effectiveness of official controls

COURSE 2

- Audits at EU Level. Main findings and recommendations from DG SANTE audits of NAS in MS
- EU Legal Framework, NAS Reference Documents and International Standards
- Review of Audit Process and organization of the Audit System
- Risk Based Audit Programming
- Independence and Independent Scrutiny of the Audit Process
- Measuring the effectiveness of official controls
- Compliance with planned arrangements and suitability to achieve objectives
- Evidence based Findings, Audit Evidence
- Root-cause analysis, methods of root- cause analysis, usefulness and applicability to audit
- Conclusions and recommendations
- Audit Reporting & Dissemination
- Audit Management and Review
  - PDCA benefits to continuous improvement of the audit system
  - How can the NAS respond to crisis along the food chain

Annex 2: Legislation and guidance

Regulation (EC) No 2017/625 covers official controls performed in Member States of the EU to ensure the verification of compliance with feed and food law, animal health and animal welfare rules. This regulation provides for a management system for official controls, setting out the requirements that the various elements of this management system must meet in order to allow for the delivery of effective controls of consistently high quality and applied uniformly in the EU.

The Regulation further requires, under Article 4(6), for national Competent Authorities to develop appropriate National Audit Systems (NAS) for the independent auditing of their official controls in the area of food and feed, animal health and animal welfare. Effective implementation of Article 4(6) is an essential element in the management of the national official control systems in Member States. It checks that arrangements in place achieve the objectives of the control system as outlined in the Member States Multi Annual National Control Plan (MANCP) and also promotes continuous improvement. This requirement will be continued with the introduction of the new replacement Regulation on official controls (Regulation (EU) 2017/625), which comes into effect in December 2019. The scope of the Regulation will then be extended to include plant health.

The implementation of this requirement is guided by Article 6 of Regulation (EU) 2017/625 of the European Parliament and of the Council (2021/C 66/02) which specifies the criteria for conducting internal auditing of official controls as required under Regulation (EC) No 2017/625 and reflects international bodies' standards and recommendations regarding the organisation and operation of official services. This decision provides guidelines for Member States in the implementation of Article 4(6) of Regulation (EC) No 2017/625.

A well organised and effectively managed National Audit System within the EU control system will produce wide ranging benefits including:

• Enhancing confidence that a high level of food and feed safety and animal health is in place within the EU;
• Ensuring that official controls in the EU control system are performed in an effective and efficient manner across all relevant food, feed and animal sectors with best use of resources in that Member State;
• Assisting the EU Commission in the prioritisation process entailed in developing their annual risk-based inspection programme.

Between 2015 and the end of 2018 all MS NAS will have been audited by the European Commission's Directorate-General for Health and Food Safety to evaluate the systems which they have put in place to implement Article 4(6) of Regulation 2017/625. Overarching conclusions contained in the 2017 interim report on these audits demonstrated the strong link between effective implementation of Article 4(6) and the achievement of consistent and effective official controls: "those competent authorities with well- organised audit systems had effectively implemented audits of official controls and could demonstrate that their audit process contributed to ensuring the quality, and improving the consistency and effectiveness of official controls, provided that there was strong management commitment to the follow-up of audit recommendations". In addition, it is recognised that the NAS of many Member States are in the development stage and the interim report concludes that "Member States are still experiencing some challenges in organising, implementation and/ or following up audit of official controls".

Optimisation of audit arrangements to enhance credibility and reliability of controls remains a challenge for some Member States as also ensuring independent scrutiny and effective follow-up of audit results.

Annex 3: Agenda

AGENDA COURSE 1

SETTING UP AND IMPLEMENTING AN AUDIT SYSTEM AND BASICS FOR PERFORMING A DETAILED AUDIT

DAY 1 – Monday – Background, legal framework, guidance documents and standards

Time	Topic	Tutor
12.30	Lunch	
13.50	Registration of participants	Event Manager
14.00	Welcome addresses, presentation of tutors, presentation of participants	Patrick Farrell
14.30	Better Training for Safer Food: presentation of a video	
14.40	**Course background, objectives & expected results**	Patrick Farrell
14.50	Preliminary discussion with participants aimed to enquire about their expectations of the training initiative	Patrick Farrell
15.00	**Self-assessment test** *Automatic response systems (ARS)*	
15.20	**1. EU Legal Framework for Independent Auditing of Official Controls by Competent Authorities** *Presentation. Audience Response System (ARS)*	Patrick Farrell
15.40	**2. What is an Audit, auditing principles, audit types and auditing bodies** *Presentation, Group work in plenary*	Maria Barbara Amaral
16.00	Open discussion session	Patrick Farrell
16.15	Coffee break	
16.30	**3. Audits at the EU level: the role of the Directorate-General for Health and Food Safety missions**. A brief introduction to Overview Report (DG(SANTE) 2018-6810-MR) on Audits of Official Controls in the EU Member States *Presentation, Group discussion on participants' experience of auditing*	Patrick Farrell
17.00	**4. Multi-Annual National Control Plan** • legislation and guidance • how NAS links with MANCP *Presentation*	Antonio Muñoz Barbero
17.15	**5. Relevant international auditing standards** • Process of audit under ISO 19011/ 2018 • IIA Standards and Approach *Presentation*	Maria Barbara Amaral
17.30	Open discussion session	
18.00	Conclusions of Day 1 (summary of main topics) One-minute reflection	Patrick Farrell
18.15	End of Day 1	
19.30	Welcome drink and dinner	

DAY 2 –Tuesday – Basics for performing a detailed audit

Time	Topic	Tutor
08.30	**6a. Auditing Process: Plan – P of PDCA Cycle** Audit Preparation, Audit Plan, Setting up Audit Teams and Auditors, Review of Inputs *Presentation*	Safia Kaidi
09.10	**6a.1 Preparation for an audit** *Group Work*	Maria Barbara Amaral
9.50	**Plenary Session:** presentation of the results of the group work followed by questions & answers and open discussion	
10.00	Coffee break	
10.20	**6b. Auditing Process: Do: D of PDCA cycle** Conducting/ Performance of the audit (opening meeting, conducting an audit, audit evidence, audit findings, closing meeting) *Presentation*	Safia Kaidi
11.20	**6c. Auditing Process: Do: D of PDCA cycle**: Collecting and verifying audit evidence *Group work*	Antonio Muñoz Barbero
11.50	**Plenary Session**: presentation of the results of the group work followed by questions & answers and open discussion	
12.30	Lunch break	
13.30	**6d. Auditing Process: Check: C of PDCA cycle:** Audit Conclusions and Recommendations, Reporting and Follow up *Presentation*	Antonio Muñoz Barbero
14.10	**6e. Auditing Process: Act: A of PDCA**: Audit Review & Audit programme review *Presentation*	Maria Barbara Amaral
15.20	Coffee break	
15.40	**7. Root cause analysis** *Presentation & Group work*	Safia Kaidi
16.25	**Plenary Session:** presentation of the results of the group work followed by questions & answers and open discussion	
16.45	Conclusions of Day 2 (summary of main topics) One-minute reflection	Patrick Farrell
17.00	End of Day 2	
17.45	Guided tour	
20.30	*Social Dinner*	

DAY 3 –Wednesday – Setting up and implementing of an audit system

Time	Topic	Tutor
08.30	**8. MS experience in meeting National Audit System requirements of Regulation (EC) No 2017/625 and Commission Notice on a guidance document on the implementation of the provisions for the conduct of audits under Article 6 of Regulation (EU) 2017/625 of the European Parliament and the Council 2021/C 66/02** *Sharing experiences between participants*	Selected participants
09.10	**9. Setting up an Internal Audit Function –Overview of Organisational Requirements – Nature of Audit Process** A systematic approach, independent scrutiny, independence & transparency *Presentation*	Patrick Farrell
09.40	**10. Reviewing the DG SANTE Interim reports** *Group work* of reviewing the DG SANTE Interim reports and summarising the challenges of MS in meeting requirements for (i) Auditor Competence, (ii) independent scrutiny, (iii) independence & (iv) transparency	Maria Barbara Amaral
10.40	**Outcomes of the WGs (10)** The appointed speaker of each WG will present findings and outcome Tutors and participants will comment and open discussions on the findings	Maria Barbara Amaral
11.00	Coffee break	
11.15	**11. Example of Implementation of Article 6 of Regulation (EU) No 2017/625 in an EU Member State** *Presentation and group discussion*	Safia Kaidi
11.45	**12. Organisational requirements for internal auditing function** Documented Procedures for Auditing, Documentation of Management of Audit Function *Presentation and group work*	Patrick Farrell
12.20	**Plenary Session**: presentation of the results of the group work followed by questions & answers and open discussion	
12.45	Lunch break	
13.45	**13a. Organisational requirements for internal auditing function –** Risk-Based Audit Programs and Scheduling. *Presentation, group discussion*	Maria Barbara Amaral
14.30	**13b. Examples of Multiannual auditing schedule** *Presentation*	Antonio Muñoz Barbero
15.00	**14. Develop an Audit Universe for a certain sector, Identify and assess risks for a certain sector, Development of a Multi-Annual risk-based audit programme** *Presentation + Group Work*	Antonio Muñoz Barbero
16.00	Coffee break	

Time	Topic	Tutor
16.20	**15. Organisational requirements for internal auditing function – Transparency** *Presentation & Group Work in plenary*	Safia Kaidi
17.00	Open discussion session	
17.10	Conclusions of Day 3 (summary of main topics) One-minute reflection	Patrick Farrell
17.20	End of Day 3	
20.00	Dinner	

DAY 4 –Thursday – Setting up and implementing of an audit system

Time	Topic	Tutor
08.30	**16. Threats to Independence and Independent Scrutiny** *Group Work*	Maria Barbara Amaral
09.20	**17a. Implementation of Audit Process: Guiding Principles** Compliance with planned arrangements *Presentation and group work*	Antonio Muñoz Barbero
10.20	**Outcomes of the WGs (17a)** The appointed speakers of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings	
10.30	Coffee break	
11.00	**17b. Implementation of Audit Process: Guiding Principles** Effective implementation, Suitability to achieve objectives *Presentation*	Maria Barbara Amaral
11.30	**17c. Example of measuring the effectiveness of a food control system in a member state: Ireland** *Presentation*	Patrick Farrell
12.10	Open discussion session	
12.30	Lunch break	
13.30	**17d. Auditing the suitability to achieve objectives and effective implementation** *Group work*	Antonio Muñoz Barbero
14.30	**17e: Implementation of Audit Process: Guiding Principles** Audit Resources, Auditor Competence *Presentation*	Tom Lierman
15.00	**17f. Audit Resources, Auditor Competence** Group Work	Tom Lierman

15.45	**Coffee break**	
16.15	*Outcomes of the WGs (17f)* *The appointed speakers of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Tom Lierman
16.45	Conclusions of Day 4 (summary of main topics) One-minute reflection	Patrick Farrell
17.15	End of Day 4	
20.00	Dinner	

DAY 5 – Friday – Brainstorming, wrap-up, conclusions

Time	Topic	Tutor
09.00	**18. Effectiveness of official controls-Tools and Techniques** *Group work* in plenary to discuss specific tools and techniques for measuring the effectiveness of official controls	Tom Lierman
09.40	**Tutors' answers to participants' questionnaires**	Patrick Farrell
10.30	Coffee break	
11.00	**19. Recap of the training & Dissemination** Presentation and group discussion	Patrick Farrell
11.30	Final assessment *Audience response system (ARS)*	
12.00	Participant Survey of training	
12.10	Training certificates	
12.30	Lunch	

AGENDA COURSE 2

ORGANISATION AND IMPLEMENTATION OF TRAINING ACTIVITIES ON AUDIT SYSTEMS AND INTERNAL AUDITING

Developing advanced skills to conduct a detailed audit to verify the effective and suitable implementation of official controls by the relevant control authorities

DAY 1 – Monday. Background, review of the legal framework and of the audit process

Time	Topic	Tutor
12.30	Lunch at the Hotel	
13.50	Registration of participants	Event Manager
14.00	Welcome addresses, presentation of tutors, presentation of participants	
14.40	Better Training for Safer Food: presentation of a video	
14.50	Course background, objectives & expected results	Patrick Farrell
15.00	Self-assessment test Automatic response systems (ARS)	
15.20	1. Audits at EU Level. Main findings and recommendations from DG SANTE audits of NAS in MS Group discussion on main findings and recommendations from DG SANTE Overview Report on Audits of Official Controls in MS (DG(SANTE) 2018-6810-MR)	Tom Lierman
15.40	2. Recap on EU Legal Framework, NAS Reference Documents and International Standards Presentation, Automatic response system	Patrick Farrell
16.00	Open discussion session	
16.10	Coffee break	
16.30	3. Recap on audit process and organisation of the audit system Principles of risk based planning of audits, Consideration of risks in individual audits, developing risk criteria Presentation, Automatic response system	Tom Lierman
17.00	Open discussion session	
17.15	Conclusions of Day 1 (summary of main topics) One-minute reflection	Patrick Farrell
17.30	End of Day 1	
19.00	Welcome drink and dinner at the Hotel	

DAY 2 Tuesday. Risk-Based Audit Planning, Independence, Measuring the effectiveness

Time	Topic	Tutor
09.00	**4a Risk-Based Audit Planning** • Audit Universe • Risk-based planning and practical solutions to challenges • NAS reference document on "Risk-Based Planning for Audits of Official Control Systems" • Discussion on findings and recommendations relating to risk-based audit planning • Sharing of Views and Experiences between participants	Tom Lierman
10.40	Coffee break	
11.00	**4b. Risk-Based Audit Planning** Group work on Preparing risk assessment for different sectors	Antonio Muñoz Barbero
11.45	**Outcomes of the WGs (4b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Antonio Muñoz Barbero
12.10	**5a. Verification of the Effectiveness and Suitability of Official Controls** *Presentation*	Maria Barbara Amaral
12.30	Lunch break	
13.30	**5b. Measuring the effectiveness of official controls** Group work on Sharing experiences on measuring the effectiveness of official controls	Maria Barbara Amaral
14.15	**Outcomes of the WGs (5b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Maria Barbara Amaral
14:45	**6a. Audit Techniques – Systematic approach** Presentation	Tom Lierman
15.10	Coffee break	
15.40	**6b. Developing a Mind Map** Group work	Tom Lierman
16.30	**Outcomes of the WGs (6b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Tom Lierman
17.00	Conclusions of Day 2 (summary of main topics) and One-minute reflection	Patrick Farrell
17.30	End of Day 2	
18.00	**Guided tour**	
20.00	Social Dinner	

DAY 3 Wednesday. Audit Preparation, Evidence based findings

Time	Topic	Tutor
09:00	**7a. Audit Process – Audit Preparation** *Short presentation and Group work on the development of an audit objective, scope and criteria.*	Safia Kaidi
09:50	**Outcomes of the WGs (7a)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Safia Kaidi
10.15	**7b. Audit Process – Practical activity on Audit Preparation** *Group work* to develop audit checklist	Maria Barbara Amaral
11.00	Coffee break	
11.20	**Outcomes of the WGs (7b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Maria Barbara Amaral
11:50	**8a. Audit Evidence: Audit evidence and Sharing of experience on Audit evidence** Presentation	Antonio Muñoz Barbero
12.10	**8b. Audit Evidence: Evidence-based Findings and Forming Conclusion** Presentation	Antonio Muñoz Barbero
12.40	Lunch break	
13.40	**8c. Audit Evidence: Evidence-based Findings and Forming Conclusion** *Presentation and Group Work*	Maria Barbara Amaral
14.30	**Outcomes of the WGs (8c)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	
15.00	*Coffee break*	
15.20	**8d. Audit Evidence: Evidence-based Findings and Forming Conclusion** *Group Work*	Maria Barbara Amaral
15.50	**Outcomes of the WGs (8d)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Patrick Farrell
16:20	Conclusions of Day 3 (summary of main topics) One-minute reflection	
16.45	End of day 3	
20.00	Dinner at the Hotel	

DAY 4 Thursday. Root Cause Analysis, Conclusions and Recommendations, Audit Reporting

Time	Topic	Tutor
09.00	**9a Root Cause Analysis** Methods of root cause analysis, usefulness and applicability to audit *Presentation*	Safia Kaidi
09.30	**9b. Using root cause analysis for audit findings** *Group work*	Safia Kaidi
10.00	**Outcomes of the WGs (9b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Safia Kaidi
10:30	Coffee break	
11.00	**10. Recommendations and action plans** *Presentation and Group work*	Maria Barbara Amaral
12.00	**Outcome of WGs (10)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Maria Barbara Amaral
12.30	Lunch break	
13.30	**11a. Audit Reporting & Dissemination** Principles and minimum content for audit reporting & NAS guidance. Exchange of experiences on Audit Reporting & Dissemination *Presentation*	Antonio Muñoz Barbero
14.15	**11b. Audit Reporting** *Group work*	Antonio Muñoz Barbero
15.00	Coffee break	
15:30	**Outcomes of the working group (11b)** *Plenary session. The appointed speaker of each WG will present the findings and outcomes. Tutors and participants will comment and open discussions on the findings*	Antonio Muñoz Barbero
16.00	Conclusions of Day 4 (summary of main topics) One-minute reflection	Patrick Farrell
16.30	End of Day 4	
20.00	Dinner at the Hotel	

DAY 5 Friday. Audit Management and Review, wrap-up, conclusions

Time	Topic	Tutor
09.00	**12a. Measuring the effectiveness of official controls** Example of how a MS (Ireland) implements this requirement based on DG SANTE Audit *Presentation*	Patrick Farrell
09.45	**12b. Working group** *Group work* in plenary on Audit Management and Review-PDCA	Maria Barbara Amaral
10:20	Coffee break	
10:40	**13. Presentation on Dissemination** and group discussion	
11.00	Summary of the training and conclusions One-minute reflection	Patrick Farrell
11.30	Final assessment *Automatic response systems (ARS)*	
12.00	On-line evaluation of training	
12.10	Training certificates	
12.30	End of Training and Lunch	
14.00	Travel to airport	

Annex 4: Training material, outcomes and dissemination activities

Training material

Option: All participants will receive the training material well in advance of the training. The material will include additional pre-recorded material for offline studies. Preparatory videos will introduce the specific topic and provide background information to participants.

All participants will receive a Dissemination Kit electronically to enable them to actively disseminate course knowledge upon their return from BTSF training. Participants attending face-to-face courses will receive the information on the USB key.

Dissemination Kit

This contains the following training materials:

• All course presentations

• The course syllabus

• The training information sheet

• Glossary of terms and abbreviations used in the course

• Additional references for further study

• Written guidance on how to actively disseminate course knowledge to colleagues upon participants' return to their home countries, different methodologies/examples/best practice

• Other information and material delivered at the course such as quizzes, FAQs etc.

Dissemination questionnaire

Two to three months after the respective training session, participants will receive a standard questionnaire requesting information on the dissemination activities of the participant after the training, and details on differences in the approach adopted in day-to-day work following the training.

Self-assessment test

Furthermore, the programme will include an anonymous knowledge test to be carried out at the beginning and at the end of each training session in order to measure the impact of the training on the understanding of the participants of the subjects taught.

Participants are expected to agree to carry out the above tests and to reply to the surveys and questionnaires.

Annex 5: Contractor contact details

The Project is managed by: OPERA Srl

Project Manager: Claudio BOMPARD

Training Coordinator Patrick FARRELL

Separate notifications will be sent to National Contact Points for each course and will contain the names and contact details of the Event Manager and Assistant Event Manager as well as logistical details on the event.

All official communication between National Contact Points and the project will be maintained through the functional e-mail address 20179606internalauditing@btsftraining.com or by phone to + 39 06 8073315 telephone number.

All information on BTSF training can be found at the BTSF Academy website and at opera-btsftraining.eu.

These websites will be regularly updated with details of forthcoming courses.