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

To disseminate best practices for auditing procedures, improving knowledge of this complex area of work and ensuring consistent and high implementation standards across the 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 are:

- provide knowledge on the requirements of Article 6 of Regulation (EU) 2017/625 and practical solutions for consistent and effective implementation
- provide 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 10 training sessions, of which:

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

- 4 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 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. Selection criteria for participants

| Participant must: | 1. Meet the minimum requirements |
| | 2. Be selected using the evaluation criteria |

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.

Selection criteria for regular participants for COURSE 1

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 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)*	
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 • <u>BTSF Course 1</u> on Auditing of Official Controls (from 2018 onwards) or • <u>BTSF Course B1</u> on Auditing of Official Controls (pre-2018) <u>OR</u> 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**

3. Country allocations

Due to the epidemiological situation related to Covid-19 the next training sessions will be carried out in virtual mode. The March session 7-11, will cover course 1 (basic). The two sessions in April 4-8, and May 9-13, will concern course 2 (advanced).

Table 1: Suggested allocation for EU Member States and Candidate Countries

	Country	Virtual Classroom		
		7-11 March 2022	4-8 April 2022	9-13 May 2022
Member States	Austria	1	2	1
	Belgium	1	1	1
	Bulgaria	1	1	1
	Croatia	2	1	1
	Cyprus	1	1	1
	Czech Republic	1	1	1
	Denmark	1	1	1
	Estonia	1	1	1
	Finland	1	1	1
	France	1	2	1
	Germany	1	2	1
	Greece	1	1	1
	Hungary	1	1	1
	Ireland	0	1	1
	Italy	1	2	1
	Latvia	1	1	1
	Lithuania	1	1	1
	Luxembourg	2	2	1
	Malta	2	1	1
	Netherlands	1	2	1
	Poland	1	1	1
	Portugal	2	1	1
	Romania	1	1	1
	Slovakia	1	1	1
	Slovenia	1	1	1
	Spain	0	2	1
	Sweden	1	1	1
Total Member States		**29**	**34**	**27**
Candidate Countries	Albania	1	1	1
	North Macedonia	1	1	1
	Montenegro	1	1	1
	Serbia	1	1	1
	Turkey	1	1	1
Total of Candidate Countries		*5*	*5*	*5*
Global participation EU Member States and Candidate Countries		*34*	*44*	*37*

Table 2: Suggested allocation for other non-EU Countries

	Country	Virtual Classroom		
		7-11 March 2022	4-8 April 2022	9-13 May
EFTA/EEA/ countries with special agreement	Iceland	1	1	1
	Norway	1	1	1
	Switzerland	1	1	1
	Liechtenstein	1	1	1
	UK (Northern Ireland)	1	1	1
Total EFTA/EEA/countries with special agreements		**5**	**5**	**5**
Potential Candidate Countries, Eastern Partnership, and Southern Neighbourhood countries	Bosnia and Herzegovina	1	1	1
	Kosovo	1	1	1
	Belarus	1	1	1
	Moldova	1	1	1
	Ukraine	1	1	1
	Egypt	1	1	1
	Morocco	1	1	1
Total Potential candidate countries, Eastern Partnership and Southern Neighbourhood countries		*7*	*7*	*7*
Global participation other non-EU Countries		**12**	**12**	**12**
TOTAL				
Asian coutries	China	1	1	1
	Indonesia	1	1	1
	India	1	1	1
	Thailand	1	1	1
Total Asian countries		**4**	**4**	**4**
Latin America countries	Argentina	*1*	*1*	*1*
	Brazil	*1*	*1*	*1*
	Chile	*1*	*1*	*1*
Total Latin American countries		**3**	**3**	**3**
Global participation other non-EU Countries		**7**	**7**	**7**

You are welcome to nominate for the reserve list more participants than indicated in the table above. If seats will become available, you will be informed in due time.

4. Training dates and locations

Due to current COVID-19 epidemics, the contractor will organise one 5- day Virtual Classroom (VC) training courses.

An opening introductory session in the morning of the first day will be followed by 3 and a half days of training. The course agenda is attached at Annex 3.

Table 3: Training dates and Location

Year	Session	Course	Date	Deadline	Location
2022	3	1	7- 11 March	**18 February**	ONLINE
2022	4	2	4 - 8 April	**18 March**	ONLINE
2022	5	2	9 – 13 May	**22 April**	ONLINE

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 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 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 trainings.

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.

Focus

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.

Main topics that will be addressed:

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
  - o Compliance with planned arrangements
  - o Effective implementation, Suitability to achieve objectives
  - o Audit Reporting and Follow-up; Audit Review and Dissemination of Best Practice
  - o 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
  - o PDCA benefits to continuous improvement of the audit system
  - o How can the NAS respond to crisis along the food chain

AGENDA

TRAINING AGENDA COURSE 1
Setting-up and implementation of an audit system and basics for performing a detailed audit
Virtual Classroom

	Contents	*Tutor*
Self-study material	0. Video on the Better Training for Safer Food initiative	
	1. EU Legal Framework for Independent Auditing of Official Controls by Competent Authorities	Patrick Farrell
	4. Multi Annual National Control Plan: legislation and guidance, how NAS links with MANCP	Antonio Muñoz Barbero
	6a. Auditing Process: Plan – P of PDCA Cycle	Safia Kaidi
	6e. Auditing Process: Act: A of PDCA: Audit Review & Audit programme review	Maria Barbara Amaral
	9. Setting up an Internal Audit Function –Overview of Organisational Requirements – Nature of Audit Process	Tom Lierman

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

Time	Topic	Tutor
8.50 (CET)	Registration of participants	Event Manager
9.00	Welcome addresses, presentation of tutors, presentation of participants	
9.45	**Course background, objectives & expected results**	Patrick Farrell
10.00	1. Discussion with participants on **EU Legal Framework for Independent Auditing of Official Controls by Competent Authorities**	Patrick Farrell
10.15	**2. What is an Audit, auditing principles, audit types and auditing bodies** *Presentation, Group work*	Maria Barbara Amaral
10.45	**Outcomes of the Group Work (2)** Tutors and participants will comment and open discussions on findings	Patrick Farrell
11.00	Coffee break	
11.20	**3. Audits at EU level: the role of the Directorate-General for Health and Food Safety missions.** Brief introduction to 2017 Interim Overview Report (DG(SANTE) 2017-6256-MR) on Audits of Official Controls in EU Member States *Presentation, Group discussion on participants experience of auditing*	Patrick Farrell
11.50	4. Discussion with participants on **Multi Annual National Control Plan**	Antonio Muñoz Barbero

Time	Topic	Tutor
12.10	**5. Relevant international auditing standards** • Process of audit under ISO 19011/ 2018 • IIA Standards and Approach *Presentation*	Maria Barbara Amaral
12.40	Open discussion session	
12.50	Conclusions of Day 1 (summary of main topics) One-minute reflection	Patrick Farrell
13.15	End of Day 1	

DAY 2 -Tuesday - Basics for performing a detailed audit

Time	Topic	Tutor
9.00	6a. Discussion with participants on **Auditing Process: Plan – P of PDCA Cycle**	Safia Kaidi
9.15	**6b. Auditing Process: Do: D of PDCA cycle** Conducting/ Performance of the audit (opening meeting, conducting audit, audit evidence, audit findings, closing meeting) *Presentation*	Safia Kaidi
9.50	Open discussion session	
10.00	Coffee break	
10.20	**6c. Auditing Process: Do: D of PDCA cycle**: Collecting and verifying audit evidence *Group work*	Antonio Muñoz Barbero
11.20	Plenary Session: presentation of the results of the group work followed by questions & answers and open discussion	
11.50	**6d. Auditing Process: Check: C of PDCA cycle:** Audit Conclusions and Recommendations, Reporting and Follow up *Presentation*	Antonio Muñoz Barbero
12.30	Lunch break	
13.30	6e. Discussion with participants on **Auditing Process: Act: A of PDCA**	Maria Barbara Amaral
13.40	**6f. Preparation for an audit** *Group work*	Maria Barbara Amaral
14.40	Coffee break	
15.00	**7. Root cause analysis** *Presentation and Group work*	Safia Kaidi
15.30	Open discussion session	
16.00	Conclusions of Day 2 (summary of main topics) One-minute reflection	Patrick Farrell
17.10	End of Day 2	

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

Time	Topic	Tutor
9.00	**8. MS experience on meeting National Audit System requirements of Regulation (EC) No 882/2004 and Commission Decision 2006/677/EC** *Sharing experience between participants*	Selected participants
09.30	9. Discussion with participants on **Setting up an Internal Audit Function – Overview of Organisational Requirements – Implementation of the Audit Process**	Tom Lierman
09.45	**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
10.10	**Outcomes of the WGs (10)** Appointed speaker of each WG will present findings and outcome Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral
10.40	Coffee break	
11.00	**11. Example of Implementation of Article 4(6) of Regulation (EC) No 882/2004 in a EU Member State** *Presentation and group discussion*	Safia Kaidi
11.20	**12. Organisational requirements for internal auditing function** Documented Procedures for Auditing, Documentation of Management of Audit Function *Presentation and group work*	Tom Lierman
12.30	**Outcomes of the WGs (12)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Tom Lierman
12.50	Lunch break	
13.50	**13a. Organisational requirements for internal auditing function –** Risk Based Audit Programs and Scheduling. *Presentation and group discussion*	Maria Barbara Amaral
14.20	**13b. Examples of Multiannual auditing schedule** *Presentation*	Antonio Muñoz Barbero
14.50	**14. Develop an Audit Universe for certain sector, Identify and assess risks for a certain sector, Development of a Multi Annual risk-based audit programme** *Presentation + Group Work*	Maria Barbara Amaral
15.30	**Outcomes of the WGs (14)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral
16.00	Coffee break	
16.20	**15. Organisational requirements for internal auditing function – Transparency** *Presentation + Group Work*	Safia Kaidi
16.30	**Outcomes of the WGs (15)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Safia Kaidi
16.50	Conclusions of Day 3 (summary of main topics)	Patrick Farrell

	One-minute reflection	
17.00	End of Day 3	

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

Time	Topic	Tutor
9.00	**16. Threats to Independence and Independent Scrutiny** *Group Work*	Maria Barbara Amaral
9.30	**Outcomes of the WGs (16)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral
10.00	**17a. Implementation of Audit Process: Guiding Principles** Compliance with planned arrangements *Presentation and group work*	Antonio Muñoz Barbero
10.40	**Outcomes of the WGs (17a)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	
11.00	Coffee break	
11.40	**17b. Implementation of Audit Process: Guiding Principles** Effective implementation, Suitability to achieve objectives *Presentation*	Patrick Farrell
12.00	**17c. Example of measuring the effectiveness a food control system in a member state: Ireland** *Presentation*	Maria Barbara Amaral
12.20	Open discussion session	
12.30	Lunch break	
13.30	**17d. Auditing the suitability to achieve objectives and effective implementation** *Group work*	Antonio Muñoz Barbero
14.00	**Outcomes of the WGs (17d)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Antonio Muñoz Barbero
14.30	**17e: Exercise presentation on Implementation of Audit Process: Guiding Principles:** Audit Resources, Auditor Competence *Presentation*	Antonio Muñoz Barbero
14.50	Open discussion session	
15.00	Coffee break	
15.20	**17f. Audit Resources, Auditor Competence** Presentation of an exercise	Antonio Muñoz Barbero
15.50	Conclusions of Day 4 (summary of main topics) One-minute reflection	Patrick Farrell

Time	Topic	
16.10	End of Day 4	

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

Time	Topic	Tutor
09.30	**18. Effectiveness of official controls-Tools and Techniques** *Group work* to discuss specific tools and techniques for measuring the effectiveness of official controls	Tom Lierman
10.10	**Outcomes of the WGs (18)** Appointed speaker of each WG will present findings and outcome in plenary Tutors and participants will comment and open discussions on findings	Tom Lierman
10.30	Coffee break	
10.45	**18. Presentation on Recap of the training**	Patrick Farrell
10.45	**19. Presentation on Dissemination** and group discussion	Patrick Farrell
11.20	Steps for dissemination and evaluation of the course	Event Manager
11.30	Summary of the training and Conclusions	Patrick Farrell
11.30	End of the training session	

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

Virtual Classroom

	Contents	Duration	Tutor
Webcast (pre-recorded)	1. Course background, objectives & expected results 2. Recap on EU Legal Framework, NAS Reference Documents and International Standards 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 on EUs Better Training for Safer Food 12a. Measuring the effectiveness of official controls Example of how a MS (Ireland) implements this requirement based on DG SANTE Audit Presentation	90'	Patrick Farrell, Tom Lierman

DAY 1 - Monday. Risk Based Audit Programming

Time	Topic	Tutor
8:45 (CET TIME)	Registration of participants	Event Managers
09.00	Welcome addresses, presentation of tutors, presentation of participants	Patrick Farrell, participants
10.15	**4a Risk Based Audit Programming** • Audit Universe • Risk based programming 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 programming Sharing of Views and Experiences between participants	Tom Lierman
11.15	Coffee break	
11.45	4a Risk Based Audit Programming	Tom Lierman
12.30	Open discussion session	Tom Lierman
12.45	Conclusions of Day 1 (summary of main topics) One-minute reflection	Patrick Farrell
13.00	End of Day 1	

DAY 2 Tuesday. Risk Based Audit Programming, Independence and Effectiveness of Official Controls

Time	Topic	Tutor
09.00	**4b. Risk Based Audit Programming** 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	Antonio Muñoz Barbero
10.15	**5. Independence and Independent Scrutiny of the Audit Process** Exchange of experiences on independence and independent scrutiny, practical solutions to challenges Presentation and Sharing of Views and Experiences between participants	Tom Lierman
11.15	Coffee break	
11.45	**6a. Verification of the Effectiveness and Suitability of Official Controls** Presentation	Siobhan Lawlor
12.45	Lunch break	
13.45	**6b. Measuring the effectiveness of official controls** Working group on Sharing experiences on measuring effectiveness of official controls	Siobhan Lawlor
15.00	**Outcome of the WGs (6b)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Siobhan Lawlor
15.15	Coffee break	
15.45	Conclusions of Day 2 (summary of main topics) – One-minute reflection	Patrick Farrell
16.00	End of Day 2	

DAY 3 Wednesday. Audit Preparation, Evidence based findings

Time	Topic	Tutor
09:00	**7a. Audit Process – Audit Preparation** Group work on development of an audit plan and feedback Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral
10.00	**7b. Audit Process – Practical activity on Audit Preparation** Group work to develop audit check list Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral
10.45	Coffee break	
11.15	**Outcomes of the WGs (7b)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Maria Barbara Amaral

11:45	8a. Audit Evidence: Audit evidence and Sharing of experience on Audit evidence Presentation	Antonio Muñoz Barbero
12.15	8b. Audit Evidence: Evidence based Findings and Forming Conclusion Presentation	Antonio Muñoz Barbero
13.00	Lunch break	
14.0	8c. Audit Evidence: Evidence based Findings and Forming Conclusion Group Work	Antonio Muñoz Barbero
14.45	Coffee break	
15.15	**Outcomes of the WGs (8c)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	
15.45	Conclusions of Day 3 (summary of main topics) One-minute reflection	Patrick Farrell
16:00	End of Day 3	

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

Time	Topic	Tutor
9.00	**9a Root Cause Analysis** Methods of root cause analysis, usefulness and applicability to audit Group discussion	Siobhan Lawlor
10.00	**9b. Using root cause analysis for audit findings** Group work	Siobhan Lawlor
11:00	Coffee break	
11.30	**Outcomes of the WGs (9b)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Siobhan Lawlor
12.00	**10. Recommendations and action plans** Group work	Antonio MUÑOZ BARBERO
13.00	Lunch break	
14.00	**Outcome of WGs (10)** Appointed speaker of each WG will present findings and outcome. Tutors and participants will comment and open discussions on findings	Antonio MUÑOZ BARBERO
14.30	**11a. Audit Reporting & Dissemination** Principles and minimum content for audit reporting & NAS guidance Exchange of experiences on Audit Reporting & Dissemination Presentation and Group Discussion	Maria Barbara Amaral
15.00	Coffee break	

15.30	11b. Audit Reporting – Note this working group will not be completed. The tutor will give an outline of the exercise and model answers	Maria Barbara Amaral
15.50	Conclusions of Day 4 (summary of main topics) One-minute reflection	Patrick Farrell
16.00	End of Day 4	

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

Time	Topic	Tutor
09.00	Recap	Patrick Farrell
09.10	12a. Open discussion for the sharing of experiences between participants on structure in place to ensure effectiveness of official controls	Siobhan Lawlor
10.00	12b. Working group Group work on Audit Management and Review–PDCA	Patrick Farrell
11:00	Coffee break	
11.30	13. Presentation on Dissemination and group discussion	Patrick Farrell
11.50	Summary of the training and Conclusions	
12.00	End of the training session	

Annex 4: Training material, outcomes and dissemination activities

Training material
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.

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.
For Virtual Classrooms

Dissemination Kit
This contains the following training materials:
- All course presentations
- Study notes on field trips and group activities/discussions and conclusions thereof
- 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 her information and material delivered from 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.

Annex 5: Contractor contact details

The project is managed by OPERA Srl

Project manager:	**Claudio BOMPARD**
Training coordinator for the Course:	**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.
All information on BTSF training can be found at the BTSF Academy website. The website will be regularly updated with details of forthcoming courses.

Data Protection Notice for the BTSF online Trainings

This processing operation concerns the participation in BTSF online training activities which are held within the context of the Better Training for Safer Food Initiative (BTSF) and hosted in the BTSF ACADEMY to provide wider accessibility to training in the areas of food law, feed law, animal health and animal welfare rules, as well as plant health rules by using a state-of-the-art and interactive e- learning system. The BTSF is a Commission DG Health and Food safety (DG SANTE) Initiative managedby the European Health and Digital Executive Agency ('HaDEA') and aimed at organising a EU trainingstrategy in the areas mentioned above.
This data protection notice explains the reason for the processing of all personal data provided and how HaDEA collects and handles them and ensures their protection. It also details how that information is used and what rights the data subject may exercise in relation to the data. Your personal data is processed in accordance with Regulation (EU) No 2018/1725. Please find more details on the following link https://btsfacademy.eu/training/mod/page/view.php?id=417 .

Participants agree to be registered in the BTSF Academy and agree to be recorded during Virtual Classroom Training sessions and to take a group photo of the participants and tutors at the end of the training. Videos and photo will be published in the BTSF Academy in the corresponding Training course section and will be visible only to registered users of the BTSF ACADEMY.
Please find more information regarding data protection here:
https://btsfacademy.eu/training/mod/page/view.php?id=417

Annex 6: Technical requirements

The VC sessions will be organised with the use of the Zoom web conferencing tool. The participants will take part in a short Zoom test training session in the weeks before the actual session. The Zoom test training will help participants to become familiar with the Zoom platform. They will also receive some general information on the course and have the opportunity to ask questions.

The participants should have *a computer with a working camera and audio system (speaker and microphone) as well as a good internet connection.*

To avoid delays, the registered participants will be contacted for a technical test of their equipment a few days before the training sessions. This will allow participants to test their equipment and view the main features of the VC application platform. During this brief test, participants will have the chance to learn all the tools of the VC platform.

During this meeting, the Event Manager and Assistant Event Manager will also go through the main aspects of the agenda and different sessions that are foreseen. Additionally, in the morning of Day 1 of the VC, time will be dedicated to a technical session to refresh participants on the main features of the platform, and ensure connections are working properly.