

ANNEX 12: Internal Audit in 2017 (performance tables)

Corrigendum

Replaces the list at pages 65 to (top of page) 69

Engagements in the Commission and Executive Agencies finalised in 2017

AUDIT TITLE	
Audits	
1.	Audit on management of recovery orders for competition fines (incl. guarantees for competition fines) and for recovery orders in the context of the Commission's 'corrective capacity' – Phase I
2.	Audit on HR management and staff allocation in DG HOME and DG JUST
3.	Audit on amendments of 2014-2020 OPs in DGs REGIO, EMPL and MARE
4.	Audit on the Commission's framework/arrangements for the estimation, assessment and reporting on the cost-effectiveness of controls
5.	Audit on the Commission's supervision of the implementation of CEF financial instruments in DG ENER and DG MOVE
6.	Audit on the Commission's governance/oversight arrangements concerning risk management, financial reporting and the ex-post verification/audit function
7.	Audit on the production process and the quality of statistics not produced by Eurostat (ESTAT and DGs ENER, FISMA, GROW and JUST)
8.	Audit on DG AGRI's management of agricultural market crises
9.	Audit on DG AGRI's implementation of RDPs
10.	Audit on DG AGRI's control strategy for the CAP 2014-2020
11.	Audit on CHAFEA's management and control system for the implementation of the measures for the promotion of agricultural products
12.	Audit on LIFE+ phasing out in DG ENV
13.	Audit on monitoring and enforcement of EU environmental law in DG ENV
14.	Audit on DG SANTE's food safety crisis preparedness
15.	Audit on policy and funding for youth employment in DG EMPL
16.	Audit on monitoring the implementation and performance of FEAD OPs in DG EMPL
17.	Audit on major projects in DG REGIO
18.	Audit on H2020 project management in DG CONNECT
19.	Audit on procurement in DG CONNECT
20.	Audit on closure of FP7 projects in ERCEA
21.	Audit on grant management - phase 2: project management and payments for CEF in INEA
22.	Audit on HR management in INEA
23.	Audit on scientific project management in JRC
24.	Audit on HR management – recruitment of scientists in JRC
25.	Audit on the effectiveness of the set-up and supervision of Shift2Rail by DG MOVE
26.	Audit on closure of FP7 projects in REA
27.	Audit on HR management in DG RTD
28.	Audit on management of investment facilities (financial instruments) in DG DEVCO

29. Audit on DG ECHO's grant management in response to the Syrian crisis in the Middle East (Headquarters and Field Offices)
30. Audit on procurement under Instrument for Pre-Accession (direct management and indirect management with beneficiary countries) – phase II in DG NEAR
31. Limited review of grant and procurement procedures in the EU Delegation of Armenia – DG NEAR
32. Audit on preparedness for the mid-term review of ENI and IPA Regulations in DG NEAR
33. Consulting report on DG EAC's process to granting full financial autonomy to the EIT
34. Audit on Erasmus+ and Creative Europe – grant management phase 1 (from the call to the signature of contracts) in EACEA
35. Audit on HR management in EACEA
36. Audit on enforcement of the EU antitrust policy in DG COMP: cooperation with EU national competition authorities and national courts
37. Audit on financial management of procurement contracts and grants in DG COMP
38. Audit on the governance and operational organisation of the Investment Plan for Europe in DG ECFIN
39. Audit on HR management in EASME
40. Audit on H2020 project management in EASME
41. Audit on evaluation in DG ECFIN
42. Audit on financial management of procurement and grants in DG FISMA
43. Limited review of the calculation and the underlying methodology of the residual error rate for the 2016 reporting year in DG GROW
44. Audit on the accuracy of information on the Internal Market in DG GROW
45. Audit on the supervision of the implementation of the Copernicus programme in DG GROW – phase 1: control strategy on ESA entrusted budget
46. Audit on internal processes supporting trade policy negotiations in DG TRADE
47. Audit on the procurement process in DG DIGIT
48. Audit on the charge-back of services in DG HR
49. Audit on ethics in OLAF
50. Audit on the procurement process in PO
51. Consulting engagement on the efficiency of the workflow for parliamentary questions in SG
52. Audit on the financial management of the SRSS
53. Audit on corporate IT governance framework and portfolio management
54. Audit on management of IT security in DG DIGIT
55. Audit on security of IT applications supporting nuclear accountancy and inspection processes in DG ENER
56. Audit on IT programme and project management in the HR family
57. Audit on IT logical security controls in OLAF
58. Audit on supervision of outsourced IT operations in DG TAXUD
Follow-up audits
1. Follow-up audit on the management of intra-muros contractors
2. Follow-up audit on the new Better Regulation agenda in the Commission
3. Follow-up audit on effectiveness of the management of absenteeism in the Offices (OIB, OIL and DG HR)
4. Follow-up audit on early implementation of the ESIF control strategy in DGs REGIO, EMPL and MARE

5.	Follow-up audit on information security governance in the Commission
6.	Follow-up audit on DG AGRI's management and control system for Voluntary Coupled Support
7.	Follow-up audit on the management of grants under 2014-2020 consumer and health programmes in CHAFEA
8.	Follow-up audit on public procurement in DG CLIMA
9.	Follow-up audit on Human Resources management in DG CONNECT
10.	Follow-up audit on H2020 grant management in ERCEA: from the evaluation of proposals to the signature of the grant agreements
11.	Follow-up audit on strategic planning and programming / activity based management (SPP/ABM) in JRC
12.	Follow-up audit of the ex-IAC audit on document management in JRC
13.	Follow-up audit of the ex-IAC audit on nuclear decommissioning and waste management programme in JRC
14.	Follow-up audit of former IAC recommendations in DG JRC
15.	Follow-up audit on H2020 grant management in the REA
16.	Follow-up audit on H2020 grant management in DG RTD: from the preparation of the work programme to the signature of the grant agreements
17.	Follow-up audit on the Participant Guarantee Fund for FP7 and Horizon 2020 in DG RTD
18.	Follow-up audit on the set up of the Common Support Centre (CSC) for H2020
19.	Follow-up audit on grant management in DG JUST
20.	Follow-up audit on the management of the African Peace Facility in DG DEVCO
21.	Follow-up audit of the limited review of DG NEAR's residual error rate (RER) methodology and calculation
22.	Follow-up audit on control strategy in DG NEAR
23.	Follow-up audit on the effectiveness and efficiency of the Erasmus+ control strategy in the Education, Audio-visual and Culture Executive Agency (EACEA) and in National Agencies (DG EAC)
24.	Follow-up audit on financial management and grant processes in DG ECFIN
25.	Follow-up audit on former IAC recommendations in ESTAT
26.	Follow-up audit on the procurement process in DG COMM
27.	Follow-up audit on former IAC recommendations in PMO
28.	Follow-up audit on business continuity management in PO
29.	Follow-up audit on management of European Commission Authentication Service – ECAS
30.	Follow-up audit on the management of the security of EU ETS IT system
31.	Follow-up audit on management of local IT in DG COMP
32.	Follow-up audit on management and supervision of contracts for outsourced IT services (IT contract management) in DG DIGIT
33.	Follow-up audit on effectiveness of measures to handle manual interventions in ABAC
34.	Follow-up audit of the limited review of the calculation and the underlying methodology of DG AGRI's residual error rates for the 2012 reporting year
35.	Follow-up audit on the design of DG AGRI's management and control system for greening
36.	Follow-up audit on the objective setting process in DG MARE

37. Follow-up audit on gap analysis of new legislation / design of 2014-2020 programming period European Structural and Investment funds – phase 2 in DG MARE
38. Follow-up audit of management and supervision of contracts for the outsourced IT Services (IT contract management) in DG SANTE
39. Follow-up audit on DG EMPL's closure of the 2000-2006 ESF programming period
40. Follow-up audit on the gap analysis phase II in DG REGIO and DG EMPL
41. Follow-up audit on the monitoring of the action plans for unfulfilled ex-ante conditionalities in DG REGIO and DG EMPL
42. Follow-up audit on DG REGIO's closure of the 2000-2006 ERDF programming period
43. Follow-up audit on DG REGIO's preparations for use of Financial Instruments in 2014-2020
44. Follow-up audit on closure of projects of legacy programmes in DG CONNECT
45. Follow-up audit on preparedness of the management and control system for Connecting Europe Facility and Horizon 2020 in INEA
46. Follow-up audit of procurement management in JRC
47. Follow-up audit of the ex-IAC audit on security and safety in the JRC
48. Follow-up audit of the ex-IAC audit on intellectual property rights management in JRC
49. Follow-up audit on the ex-IAC audit on management of expert groups
50. Follow-up audit on setting of objectives and measurement of performance in DG MOVE
51. Follow-up audit of the limited review of the calculation and the underlying methodology of the residual error rate for the 2015 reporting year in the REA
52. Follow-up audit on procurement in DG RTD
53. Follow-up audit of former IAC recommendations in DG ECHO (Legality and regularity of payments for the year 2012, Legality and regularity of payments for the year 2013)
54. Follow-up audit on financial management Humanitarian Aid in DG ECHO
55. Follow-up audit of the ex-IAC audit on the communication flows between DEVCO's HQ and EU Delegations
56. Follow-up audit of Budget Support in DG DEVCO
57. Follow-up audit on contribution agreements with UN Bodies and other international organisations in DG DEVCO
58. Follow-up audit on risk management in DG NEAR
59. Follow-up audit on preparedness for IPA II in DG NEAR
60. Follow-up audit of the ex-IAC audit on special approvals and derogations in DG NEAR
61. Follow-up audit of the ex-IAC audit on country analysis in DG EAC
62. Follow-up audit of the ex-IAC audit on document management in DG EAC
63. Follow-up audit on the objective setting process in DG JUST

64. Follow-up audit of the ex-IAC audit on procurement in DG JUST
65. Follow-up audit on knowledge management in DG COMP
66. Follow-up audit on the preparedness of the management and control systems for the SME instrument in EASME
67. Follow-up audit on the Participant Guarantee Fund for FP7 and Horizon 2020 in DG ECFIN
68. Follow-up audit on HR management in response to the financial crisis in DG ECFIN
69. Follow-up audit of the ex-IAC Audit on DG ECFIN's document management
70. Follow-up audit on risk management and planning processes in DG ECFIN in the new economic governance context
71. Follow-up audit on the effectiveness of HR management in response to the financial crisis in FISMA
72. Follow-up audit on financial management and IT procurement in DG TAXUD
73. Follow-up audit of the ex-IAC audit on DG TAXUD's external communication strategy
74. Follow-up audit on performance measurement system in DG TAXUD customs activities
75. Follow-up audit on "Are the European Trade Defence Instruments (TDIs) managed effectively and efficiently to defend the European Union against trade distortions?" in DG TRADE
76. Follow-up audit on the procurement process in DG BUDG
77. Follow-up audit on charge-back process in the Commission (DG BUDG)
78. Follow-up audit on the procurement process in DGT
79. Follow-up audit on financial management in the EPSC
80. Follow-up audit on the procurement process in EPSO/EUSA
81. Follow-up audit of former IAC recommendations in DG ESTAT
82. Follow-up audit of the ex-IAC audit on the management of the income process for the childcare facilities in OIB
83. Follow-up audit of the ex-IAC audit on 'sécurité et santé au travail' in OIL
84. Follow-up audit on financial management of procurement and grants in OLAF
85. Follow-up audit on the objective setting process in SG
86. Follow-up audit on management of local IT in DG AGRI
87. Follow-up audit of the ex-IAC audit on policy design and management of IT access rights in DG CONNECT
88. Follow-up audit of the ex-IAC audit on IT security in DG ECFIN
89. Follow-up audit on management of Local IT in DG MARE
90. Follow-up audit on management and supervision of contracts for the outsourced IT services in PO