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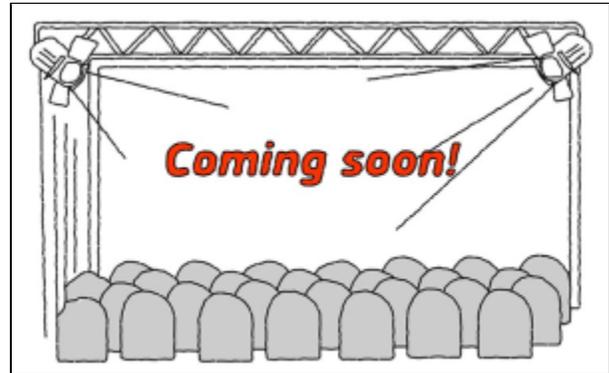
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## Audit Firms role management tutorial



## Audit Firms

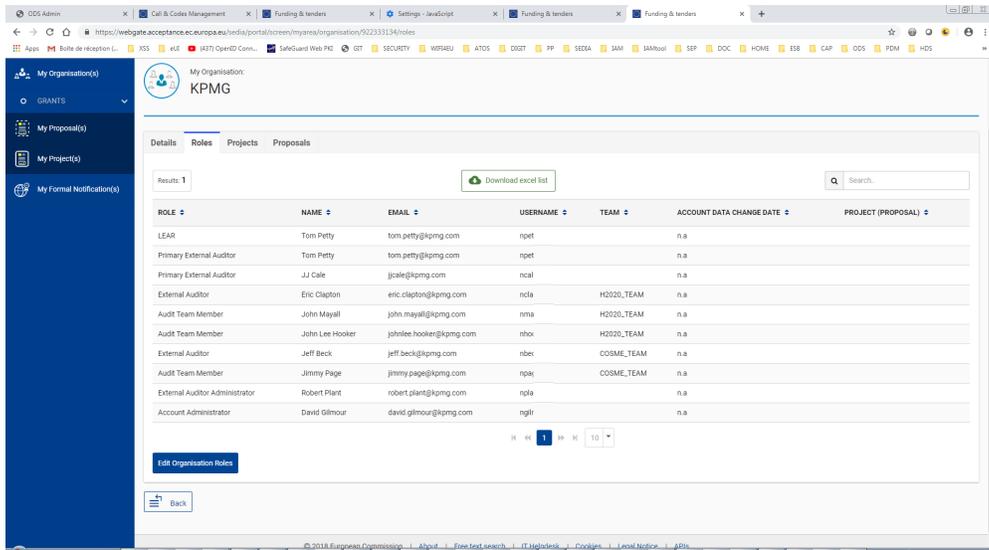
An organisation becomes an external audit firm for the EC as soon as the audit service contract is signed, and the signatory is granted the role of [Primary External Auditor](#).

This section covers the different Audit firm specific roles and how to manage those in the Funding & Tenders Portal, as well as how to manage teams and assign audits to them.

For details on the rest of roles of the organisation needed for grants or procurement contracts with the EC see [Roles and access rights](#).

For information about the Business Process steps to be followed by external auditors, please see [Outsourced audit - steps for audit firms](#).

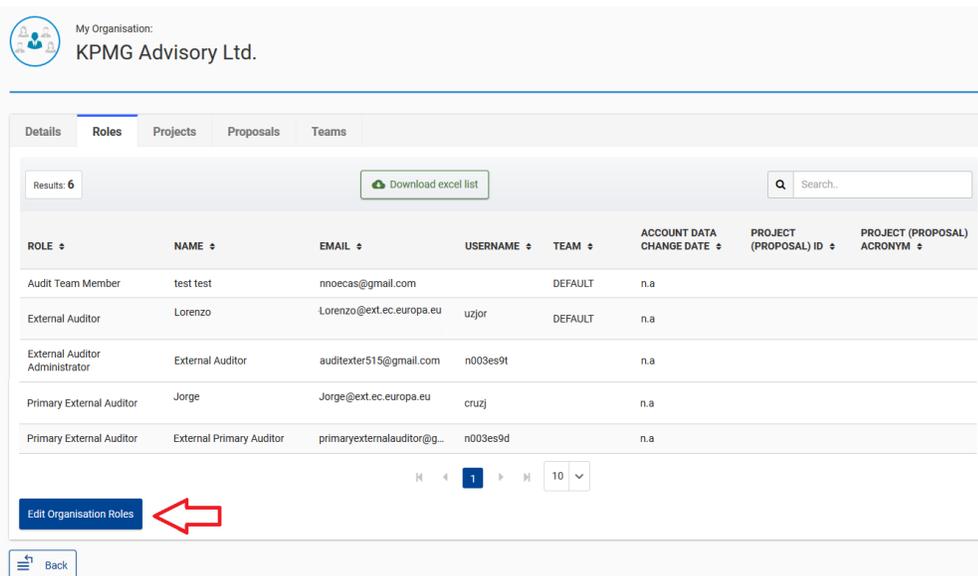
The overview of the existing roles for the organisation are listed in the **Organisation Roles** tab in the portal: access **Manage My Area, My organisations** and select **View Roles** within **Actions** on the right, you arrive to the organisation **Roles** tab.



Each audit must be assigned to a Team. Audit firms may set up multiple Teams. The Team functionality gives the audit firm flexibility to organise and distribute audits within the firm to different groups of auditors. See [Manage Teams](#).

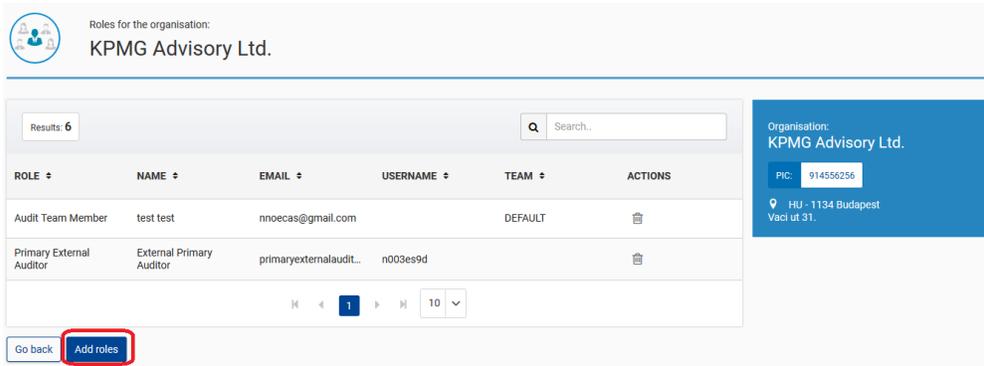
### Grant/revoke roles

To grant roles, go to **Manage My Area / My Organisation(s) / Actions / View Roles**. Click on **Edit organisation Roles**.

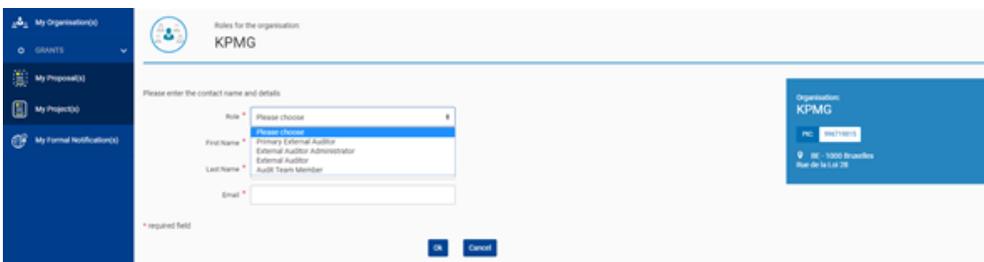


To allocate a role:

1. Click on **Add Roles**.

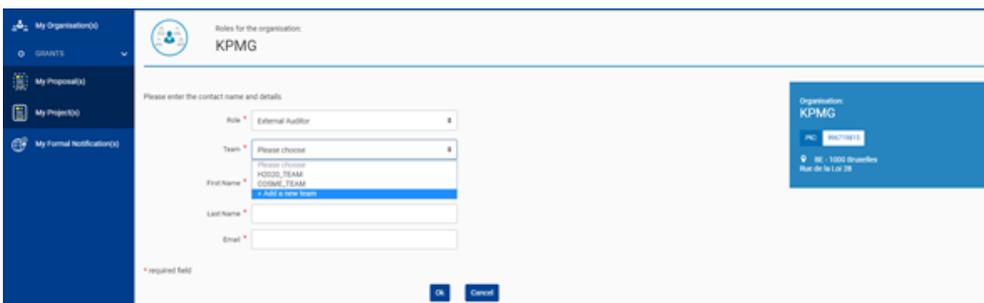


2. Select a role (the roles you are able to assign depend on the role assigned to you, see each [Overview of Audit Firm Roles](#)):



3. Enter the first name, last name and the registered email address, and click **Ok** to save.

For the external auditor and the audit team member roles, an additional field will display where you can select a team. If the team is not available in the list, click on **+Add a new Team** and provide the name of the team (this option is available only for the primary external auditor and the external auditor administrator roles).



If the first or last name are not correct, but the email address is correct, the portal will automatically use the data as registered in EU Login. If the email address is not known, then, the user will be saved in the list of roles, but that person will receive an email to create an EU Login. You will differentiate this non-registered user from the rest because the username will remain empty in the **Roles** tab until the person finishes the registration.

My Organisation: **KPMG Advisory Ltd.**

Details Roles Projects Proposals Teams

Results: 5 [Download excel list](#) Search...

ROLE	NAME	EMAIL	USERNAME	TEAM	ACCOUNT DATA CHANGE DATE	PROJECT (PROPOSAL) ID	PROJECT (PROPOSAL) ACRONYM
Audit Team Member	test test	nnoecas@gmail.com		DEFAULT	n.a		
Primary External Auditor	Jorge	Jorge@ext.ec.europa.eu	cruzj		n.a		
Primary External Auditor	External Primary Auditor	primaryexternalauditor@g...	n003es9d		n.a		

« 1 » 10

[Edit Organisation Roles](#)

[Back](#)

To revoke a role, access the Roles Tab (**Manage My Area / My Organisations / Actions / View Roles**), click on **Edit organisation Roles**.

My Organisation: **KPMG Advisory Ltd.**

Details Roles Projects Proposals Teams

Results: 6 [Download excel list](#) Search...

ROLE	NAME	EMAIL	USERNAME	TEAM	ACCOUNT DATA CHANGE DATE	PROJECT (PROPOSAL) ID	PROJECT (PROPOSAL) ACRONYM
Audit Team Member	test test	nnoecas@gmail.com		DEFAULT	n.a		
External Auditor	Lorenzo	Lorenzo@ext.ec.europa.eu	uzjor	DEFAULT	n.a		
External Auditor Administrator	External Auditor	auditexter515@gmail.com	n003es9t		n.a		
Primary External Auditor	Jorge	Jorge@ext.ec.europa.eu	cruzj		n.a		
Primary External Auditor	External Primary Auditor	primaryexternalauditor@g...	n003es9d		n.a		

« 1 » 10

[Edit Organisation Roles](#)

[Back](#)

1. Use the Bin icon to remove a role.

Roles for the organisation: **KPMG Advisory Ltd.**

Results: 6 Search...

ROLE	NAME	EMAIL	USERNAME	TEAM	ACTIONS
Audit Team Member	test test	nnoecas@gmail.com		DEFAULT	
Primary External Auditor	External Primary Auditor	primaryexternalaudit...	n003es9d		

« 1 » 10

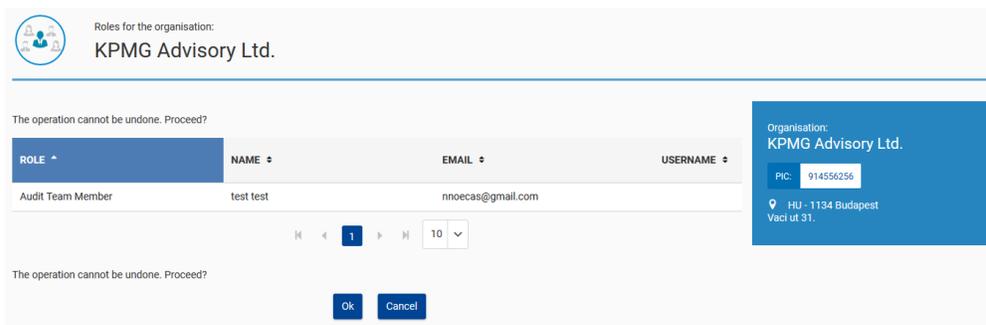
[Go back](#) [Add roles](#)

Organisation: **KPMG Advisory Ltd.**

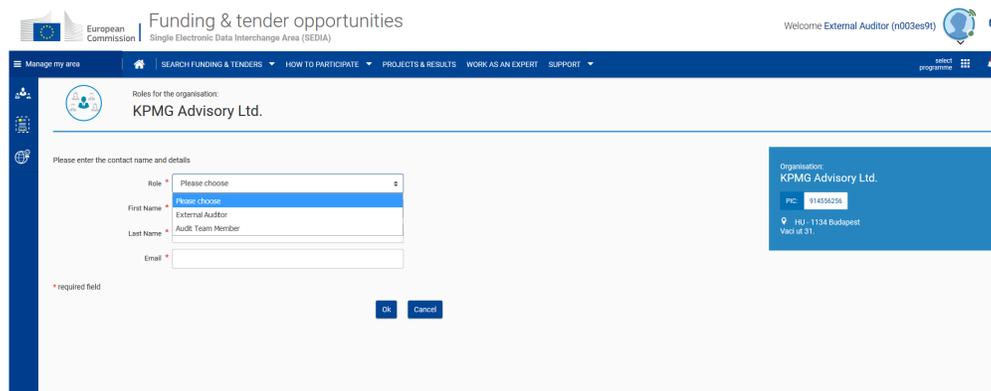
PIC: 914556256

HU - 1134 Budapest Vaci ut 31.

2. In the following screen, click **Ok** to confirm the revocation of the role.

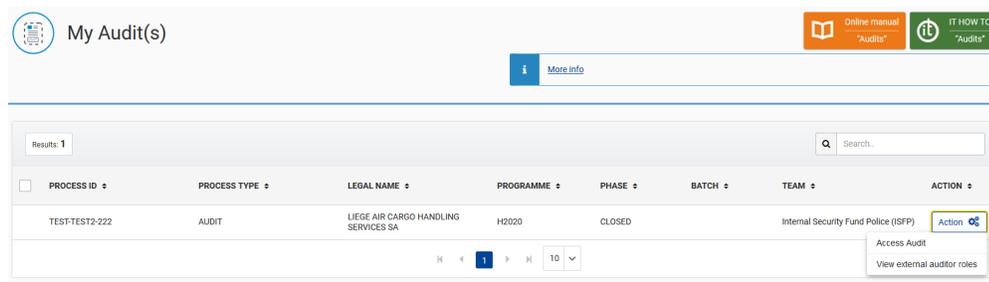


External auditors and audit team members roles can also access the roles tab, but they will only have the possibility to remove/add other external auditors and audit team members to their own team.



### Granting/revoking external audit firm local auditor role

External auditors and audit team members can also grant the external audit firm local auditor role, which is granted at audit level, instead of at organisation level. Access via **Manage My Area / My Audits / Actions / View External Auditor Roles**.



Then, click **Add Roles**.

Roles for the audit:  
TEST2-LIEGE AIR CARGO HANDLING SERVICES SA

Results: 5

ROLE	NAME	EMAIL	USERNAME	TEAM	ACTIONS
Audit External Auditor	External Auditor	auditexter515@gmail.com	n003es9t	Internal Security Fund Police (ISFP)	
Audit External Auditor Administrator	External Auditor Administrator	external.audit.adm@gmail...	n003es9l		
Audit Primary External Auditor	External Primary Auditor	primaryexternalauditor@g...	n003es9d		
Audit Team Member at audit level	External Audit Team Member	teammemberaudit2@gmail...	n003esg8	Internal Security Fund Police (ISFP)	

Go back Add roles

Organisation: KPMG Advisory Ltd.  
PIC: 914556256  
HU - 1134 Budapest Vaci ut 31.

The only possibility at audit level is to grant the external audit firm local auditor role.

Roles for the audit:  
TEST2-LIEGE AIR CARGO HANDLING SERVICES SA

Please enter the contact name and details

Role: Local Auditor

Team: Internal Security Fund Police (ISFP)

First Name: Pieter

Last Name: Smidt

Email: nnoecas@gmail.com

\* required field

OK Cancel

Organisation: KPMG Advisory Ltd.  
PIC: 914556256  
HU - 1134 Budapest Vaci ut 31.

To remove the role, you also need to access via **Manage My Area / My Audits / Actions / View External Auditor Roles**. You can delete the role using the bin icon (only this role can be removed when accessing via **My Audits**)

Roles for the audit:  
TEST2-LIEGE AIR CARGO HANDLING SERVICES SA

Results: 6

ROLE	NAME	EMAIL	USERNAME	TEAM	ACTIONS
Audit External Auditor	External Auditor	auditexter515@gmail.com	n003es9t	Internal Security Fund Police (ISFP)	
Audit External Auditor Administrator	External Auditor Administrator	external.audit.adm@gmail...	n003es9l		
Audit Primary External Auditor	External Primary Auditor	primaryexternalauditor@g...	n003es9d		
Audit Team Member at audit level	External Audit Team Member	teammemberaudit2@gmail...	n003esg8	Internal Security Fund Police (ISFP)	
Local Auditor	test test	nnoecas@gmail.com		Internal Security Fund Police (ISFP)	

Go back Add roles

Organisation: KPMG Advisory Ltd.  
PIC: 914556256  
HU - 1134 Budapest Vaci ut 31.

Then click **Ok** to confirm.

Roles for the audit:  
TEST2-LIEGE AIR CARGO HANDLING SERVICES SA

The operation cannot be undone. Proceed?

ROLE	NAME	EMAIL	USERNAME
Local Auditor	test test	noeccas@gmail.com	

Organisation:  
KPMG Advisory Ltd.  
PIC: 914556256  
HU - 1194 Budapest  
Vaci ut 31.

The operation cannot be undone. Proceed?

OK Cancel

## Manage Teams

Only the primary external auditor and the external auditor administrators can add/rename/remove the teams of an organisation.

Go to **Manage My Area / My organisations**, and then click on **Actions / View Roles**.

My Organisation(s)

Online manual "Register in the Participant Register" IT HOW TO "Participant Register"

More info

Results: 1

Search...

LEGAL NAME	PIC	VAT	STATUS	ACTIONS
KPMG Advisory Ltd.	914556256	HU12691908	DECLARED	<a href="#">Actions</a> <a href="#">View Roles</a> <a href="#">Audit Management</a>

Do you want to continue the registration of your organisation to receive a PIC?

If you started the registration of your organisation in the Commission register some time ago, but did not finalise it - your organisation has not received a PIC number yet - you will not be able to see it above in the section My organisations. Please continue its registration by clicking on the button that leads you to the registration tool. You may check the information that will be necessary for the registration in the user manual.

CONTINUE REGISTRATION

Access the **Teams** tab:

My Organisation(s)

My Organisation: CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE

More info

Details Roles Projects Proposals **Teams**

NAME	ACTIONS
AUDIT_2019_HO320	
<b>Team member list</b>	
Audit Contact: bb.king	bb.king@cnrs.com
Audit Contact: Jim Morrison	jim.morrison@cnrs.com
AUDIT_2018_COSME	

Add a new team

If you did not manage the Teams of your firm yet, you will see a "Default" team. You can rename it via **Actions / Rename**

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 1

NAME	ACTIONS
DEFAULT	<a href="#">Actions</a> > <a href="#">Rename Team</a> <a href="#">Add Roles</a>

[Add a new team](#)

[Back](#)

The Team field becomes editable now. Provide the new name and click on the tick icon to confirm, or or the cross to cancel.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS
<input type="text" value="Internal Security Fund Police"/>	<a href="#">Actions</a> >
Pilot Projects and Preparatory Actions (PPPA)	<a href="#">Actions</a> >

[Add a new team](#)

[Back](#)

To create a new team, click on **Add new team**.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS
Internal Security Fund Police (ISFP)	<a href="#">Actions</a> >
Pilot Projects and Preparatory Actions (PPPA)	<a href="#">Actions</a> >

[Add a new team](#)

[Back](#)

When creating a team, you will need to assign either an external auditor or an audit team member role to it. Select one of those roles, enter the name of the team and provide the details of the person. Click **Ok** to confirm the creation.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Please enter the contact name and details

Role \* External Auditor

New Team Name \* Pilot Projects and Preparatory Actions (PPPA)

First Name \* External

Last Name \* Auditor

Email \* auditexter515@gmail.com

\* required field

Ok Cancel

Back

To display the current members of the team, click on the arrow on the right.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS		
Internal Security Fund Police (ISFP)	Actions		
<b>Team member list</b>			
External Auditor	External Auditor	auditexter515@gmail.com	
Pilot Projects and Preparatory Actions (PPPA)	Actions		

Add a new team

Back

You can remove assignees using the bin icon. Please note, the last external audit role of the team can be revoked if no audit is assigned to this team, otherwise, you are not able to remove it from the team members. When a team does not contain members, it disappears from the list of teams.

You can assign more team members via **Actions / Add Roles**.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS
Internal Security Fund Police (ISFP)	<div style="border: 1px solid gray; padding: 2px;">           Actions  </div> <div style="border: 1px solid gray; padding: 2px; margin-top: 2px;">           Rename Team         </div> <div style="border: 1px solid gray; padding: 2px; margin-top: 2px; border-color: red;">           Add Roles         </div>
<b>Team member list</b>	
External Auditor	External Auditor     auditexter515@gmail.com
Pilot Projects and Preparatory Actions (PPPA)	<div style="border: 1px solid gray; padding: 2px; float: right;">           Actions  </div>

[Add a new team](#)

[Back](#)

Select the role, enter the details and click on **Ok** to confirm.

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Please enter the contact name and details

Role \*

Team

First Name \*

Last Name \*

Email \*

\* required field

[Back](#)

You can also assign additional team members directly when allocating an external auditor or an audit team member role. See [Grant/revoke roles](#).

External auditors and audit team members roles can also access the teams tab, but they will have only the possibility to remove/add other external auditors and audit team members to their own team. They cannot add teams nor rename the existing ones.



Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS
Internal Security Fund Police (ISFP)	<div style="border: 1px solid #ccc; padding: 2px;">           Actions  </div> <div style="border: 1px solid #ccc; padding: 2px; margin-top: 2px;">           Add Roles         </div>
<b>Team member list</b>	
Audit Team Member	External Audit Team Member
teammemberaudit2@gmail.com	
External Auditor	External Auditor
auditexter515@gmail.com	
Pilot Projects and Preparatory Actions (PPPA)	<div style="border: 1px solid #ccc; padding: 2px;">           Actions  </div>

Back

### Assign an audit to a team

This action is done by a primary external auditor or an external auditor administrator (see [Overview of Audit Firm Roles](#)). Go to **Manage My Area / My Audits**.

The audits assigned to the external audit firm will be listed here.



More info

Results: 2 Search...

<input type="checkbox"/>	PROCESS ID	PROCESS TYPE	LEGAL NAME	PROGRAMME	PHASE	BATCH	TEAM	ACTION
<input type="checkbox"/>	TEST-TEST1-111	AUDIT	POLYTECHNEIO KRITIS	H2020	CLOSED		unassigned	Action
<input type="checkbox"/>	TEST-TEST2-222	AUDIT	LIEGE AIR CARGO HANDLING SERVICES SA	H2020	CLOSED		Internal Security Fund Police (ISFP)	Action

1 of 10

Please choose audit team: Assign a team to the selected audits

When an audit has not been assigned to a team yet, you will see "unassigned" under the **Team** column. Click on the left of the audit and select the team from the drop-down list.

My Audit(s)

Results: 2

PROCESS ID	PROCESS TYPE	LEGAL NAME	PROGRAMME	PHASE	BATCH	TEAM	ACTION
<input checked="" type="checkbox"/> TEST-TEST1-111	AUDIT	POLYTECHNEIO KRITIS	H2020	CLOSED		unassigned	Action
<input type="checkbox"/> TEST-TEST2-222	AUDIT	LIEGE AIR CARGO HANDLING SERVICES SA	H2020	CLOSED		Internal Security Fund Police (ISFP)	Action

Please choose audit team

- Internal Security Fund Police (ISFP)
- Pilot Projects and Preparatory Actions (PPPA)

Click **Assign a team to the selected audits**. You can assign several audits to the same team at the same time.

My Audit(s)

Results: 2

PROCESS ID	PROCESS TYPE	LEGAL NAME	PROGRAMME	PHASE	BATCH	TEAM	ACTION
<input checked="" type="checkbox"/> TEST-TEST1-111	AUDIT	POLYTECHNEIO KRITIS	H2020	CLOSED		unassigned	Action
<input type="checkbox"/> TEST-TEST2-222	AUDIT	LIEGE AIR CARGO HANDLING SERVICES SA	H2020	CLOSED		Internal Security Fund Police (ISFP)	Action

Pilot Projects and Preparatory Actions (PPPA)

Assign a team to the selected audits

If you want to create a new team, you need to do it either in the Teams tab of your organisation (see [Manage Teams](#)):

My Organisation: KPMG Advisory Ltd.

Details Roles Projects Proposals **Teams**

Results: 2

NAME	ACTIONS
Internal Security Fund Police (ISFP)	Actions
Pilot Projects and Preparatory Actions (PPPA)	Actions

Add a new team

Or you can also create a new team when allocating an external auditor or an audit team member roles by selecting **+Add a new Team** in the team field (see [Grant/revoke roles](#)).

## Access the Audit Management System

External auditors / audit team members access **My Audits**, within **Manage my Area**. You will see only the audits assign to the team they are members of, but not all the audits of the firm.

From there, you click on the **Actions** button next to the audit and select **Access Audit**. This will launch the Audit Management System (AMS) for the concerned organisation.

PROCESS ID	PROCESS TYPE	LEGAL NAME	PROGRAMME	CHASE	BATCH	TEAM	ACTION
TEST-TEST2-222	AUDIT	LIEGE AIR CARGO HANDLING SERVICES SA	H2020	CLOSED		Internal Security Fund Police (ISFP)	<a href="#">Action</a> <a href="#">Access Audit</a> <a href="#">View external auditor roles</a>

## Overview of Audit Firm Roles

Role	Who is this?	Duties and system rights	Additional information
<b>Primary External Auditor</b>	Signatory in the audit firm of the audit service contract with the EC, who automatically receives this role when the audit is launched.	<p>Manages (grants/revokes) all the roles /teams/persons representing their organisation for Audit assignments in <b>My Audits</b>.</p> <p>The first primary external auditor acquires automatically the External Auditor role and rights.</p>	<p>This role is automatically granted and it is also automatically nominated as an external auditor.</p> <p>There may be more than one primary external auditor.</p>
<b>External Auditor</b>	Main contact person(s) appointed by the external audit firm to manage the audit assignments under the audit service contract in line with the provisions of the contract.	<p>Has full viewing/editing/ submission rights on audits assigned to their team.</p> <p>Responsible for the quality of the documents submitted to the EC.</p> <p>Can interact via the interface with the auditee and the EC.</p> <p>Grants/revokes these roles within their team:</p> <p><b>other external auditors</b> <b>external audit team Members</b> <b>local auditor</b></p>	<p>A team needs at least one external auditor.</p> <p>External auditors are nominated/revoked by:</p> <p><b>other external auditors in the same team</b> <b>primary external auditors</b> <b>external auditor administrators</b></p> <p>There may be one or more external auditors in a team.</p>
<b>External Auditor administrator</b>	Person in the audit firm that is responsible for the administrative tasks such as managing accesses and roles within their audit firm.	<p>Manages (grants/revokes) all the roles /teams/persons representing their organisation for Audit assignments in <b>My Audits</b>.</p> <p>Does NOT have any rights to view /edit/submit audit documents on individual audits.</p>	<p>Administrators are granted/revoked by primary external auditors or other external auditor administrators.</p> <p>There may be none, one or more external auditors administrators in an audit firm.</p>
<b>Audit Team Member</b>	Support auditor that can assist the external auditor.	<p>Has rights to access the audit process documents to assist in any auditor task, but can NOT submit or complete the auditor task.</p> <p>Grants/revokes other audit team members or external local auditors to their team.</p>	<p>Audit team members can be granted/revoked by all roles except external audit firm local auditors.</p> <p>There may be none, one or more audit team members assigned to a Team.</p>
<b>External Audit Firm Local Auditor</b>	Auditor tasked with individual assignments for the audit firm.	<p>Has full viewing/editing/ submission rights on specific tasks with the audited beneficiary.</p> <p>Can upload documents but cannot submit documents to the EU.</p> <p>Can communicate directly with the auditee via the Audit Management System.</p>	<p>External audit firm local auditors roles are granted/revoked by audit team members or by external auditors at audit level, and not at organisation level as the rest of roles (see <a href="#">Granting /revoking local auditor role</a>) .</p> <p>They do NOT have the right to grant/revoke other roles.</p> <p>There may be several external audit firm local auditors granted for an individual audit.</p>