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### Audit process inhouse

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Step 3: The Audit Contact submits observations on the Draft Audit Report (DAR)

The [general concepts](#) of the Audit Management Services system also apply to the audit process. For a detailed description of the roles mentioned in this process, see the [Roles and access rights in the H2020 Online Manual](#).

Audited organisations (auditee) will have an Audit Contact (AUCO) nominated, who will access AMS and carry out their audit related tasks – for more information, please click [here](#).

The audit process consists of several phases:

1. The LEAR/Account Administrator is asked to nominate an Audit Contact (AUCO) **(Step 1)**
2. The Commission sends a letter of announcement to the AUCO
3. The AUCO uploads the Annexes requested in the Letter of Announcement **(Step 2)**
4. The auditor appointed by the Commission carries out the field work, prepares a Draft Audit Report (DAR) and sends the DAR to the AUCO for observations (contradictory)
5. The AUCO submits their observations on the DAR **(Step 3)**
6. The Commission sends the letter of conclusion and the Final Audit Report (FAR) – reconciliation of the DAR and the observations submitted by the AUCO – to the AUCO

In-house audits are carried out by an auditor within the Commissions own staff, and AMS will be used for all audit related exchanges with the auditee.

 If the in-house audit flow is cancelled, the LEAR and the AUCO will be notified about the cancellation of the flow via a PNS and a Formal Notification containing the Audit Cancellation Letter.

#### Steps

## Step 1: The LEAR and the Account Administrator receive a pre-notification letter to appoint an Audit Contact (AUCO)

The LEAR and the Account Administrator receive a PNS and a Formal Notification that a letter has been sent by the EU to ask him/her to appoint Audit Contact(s) (AUCO).

If not defined, when opening the Formal notification, the LEAR will be prompted to select a communication means, either to receive the documents electronically or on paper. In most of the cases, the electronically means will be assigned.

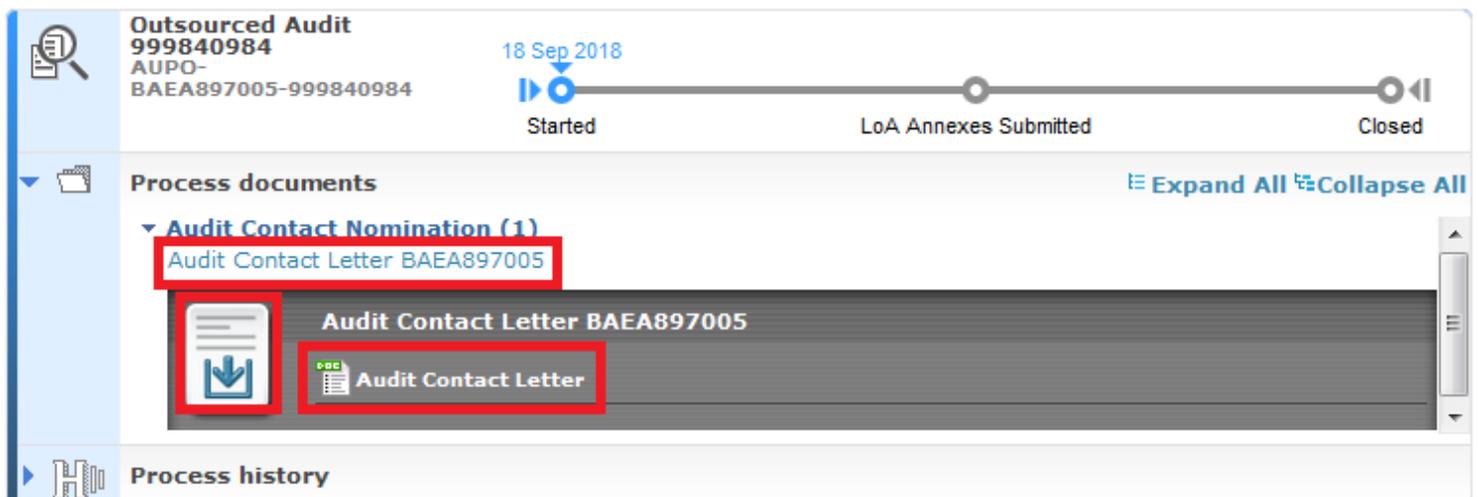


The screenshot shows the 'RESEARCH & INNOVATION Participant Portal' header. Below the header, there is a message: 'Dear user, In order to ensure a simple and smooth audit process, we propose to communicate electronic-only for all your grants (including closed grants). Please ensure that you have the necessary mandate to commit your organisation.' Below this message, there are two radio button options: 'No, my organisation would prefer to receive paper communications for closed projects with GAs before V4.0' (with a 'PAPER' button) and 'Yes, my organisation agrees to electronic communication' (with an 'ELECTRONIC' button). At the bottom, there is a small copyright notice: '© European Commission 2020 - Documents download module - Version 2.9.4-SNAPSHOT - build 20200224-0949'.

The LEAR of the organisation is automatically assigned the role of AUCO. Once an AUCO is nominated, the role may be removed from the LEAR. For more information about how to appoint an AUCO in the Funding & Tenders Portal, please click [here](#).

The letter is stored under the process specific documents.

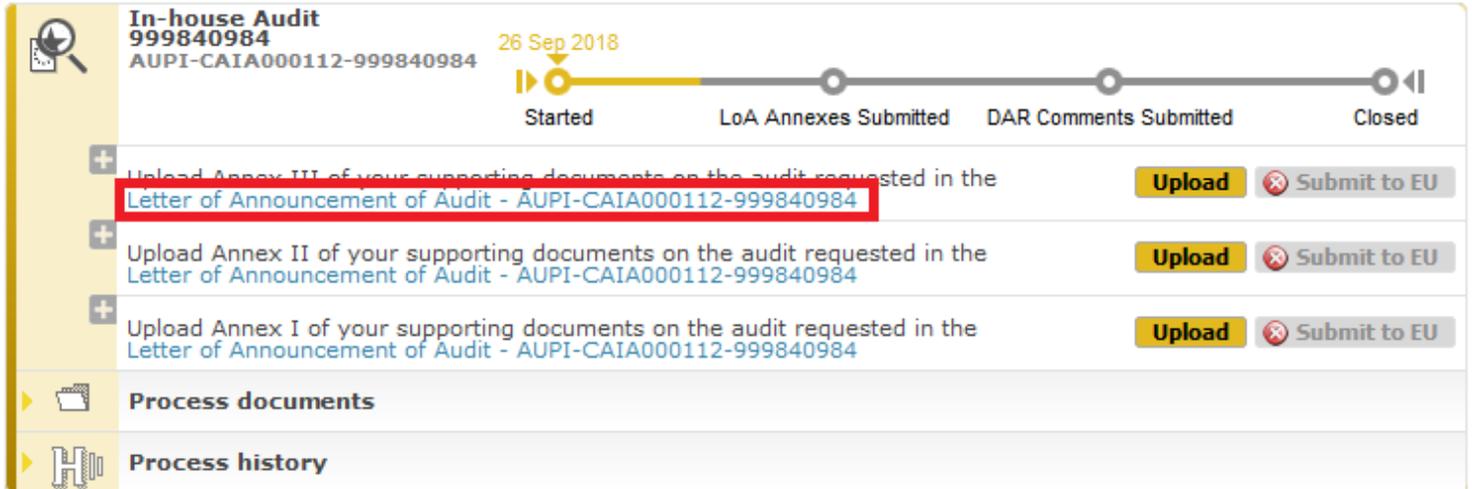
To download the document, click the link to the letter and again the download icon/the link for the "Audit Contact letter".



The screenshot shows the 'Outsourced Audit' process details for ID 999840984 (AUPO-BAEA897005-999840984). A timeline at the top shows the process starting on 18 Sep 2018, with stages: 'Started', 'LoA Annexes Submitted', and 'Closed'. Below the timeline, there is a section for 'Process documents' with a dropdown menu expanded to show 'Audit Contact Nomination (1)'. Under this, there is a document titled 'Audit Contact Letter BAEA897005'. A red box highlights the document title, and another red box highlights the download icon (a blue arrow pointing down) next to the document. Below the document, there is a preview of the document content, which includes the title 'Audit Contact Letter BAEA897005' and a sub-section titled 'Audit Contact Letter'. At the bottom, there is a 'Process history' section.

## Step 2: The Audit Contact uploads the Annexes requested in the Letter of Announcement.

Click on the link below the task "Upload Annex ..." of your supporting documents on the audit requested in" to access the Letter of Announcement and know more about the requested documents (annexes).



**In-house Audit**  
999840984  
AUPI-CAIA000112-999840984

26 Sep 2018

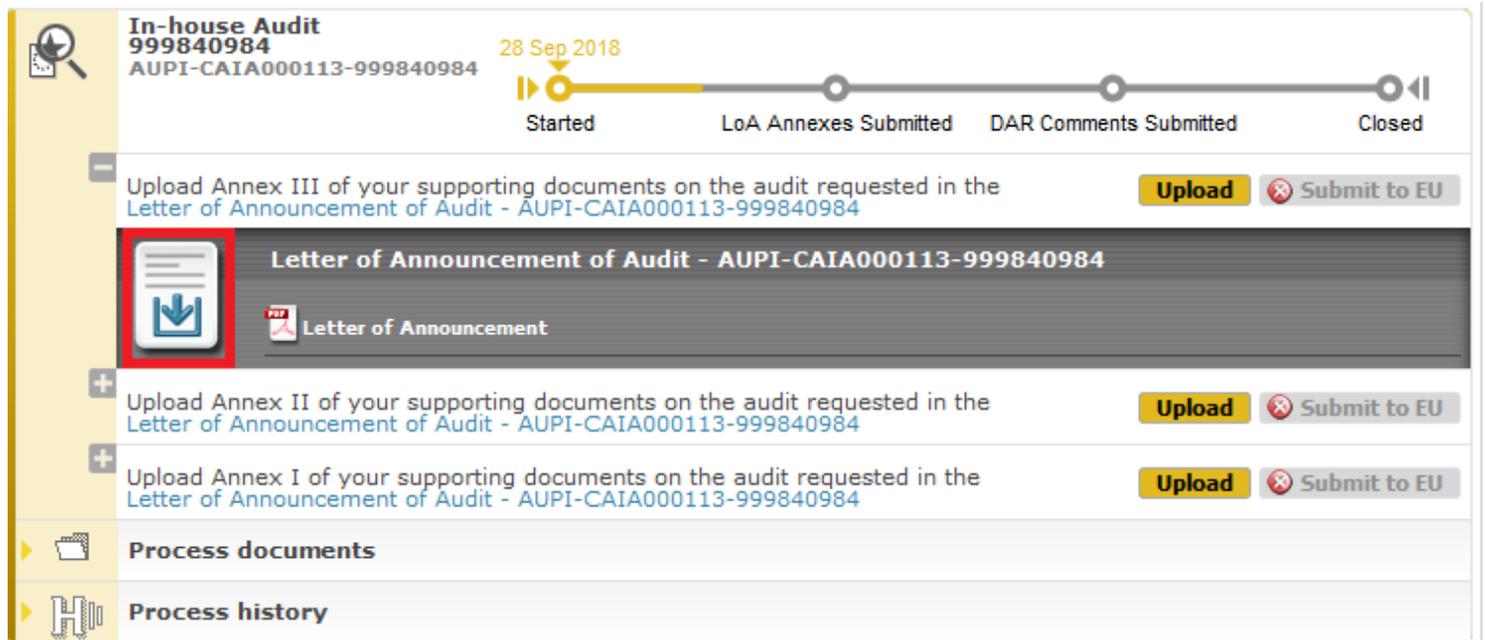
Started | LoA Annexes Submitted | DAR Comments Submitted | Closed

- Upload Annex III of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU
- Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU
- Upload Annex I of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

Process documents

Process history

To download the letter, click the link and again the download icon.



**In-house Audit**  
999840984  
AUPI-CAIA000113-999840984

28 Sep 2018

Started | LoA Annexes Submitted | DAR Comments Submitted | Closed

- Upload Annex III of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU
- Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Download**  Submit to EU
- Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU
- Upload Annex I of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU

Process documents

Process history

The Letter(s) is/are also stored under Process Documents and can be accessed and downloaded from there.

**In-house Audit**  
999840984  
AUPI-CAIA000113-999840984

28 Sep 2018

Started      LoA Annexes Submitted      DAR Comments Submitted      Closed

+ Upload Annex III of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU

**Letter of Announcement of Audit - AUPI-CAIA000113-999840984**

Letter of Announcement

+ Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU

+ Upload Annex I of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000113-999840984 **Upload**  Submit to EU

Process documents Expand All Collapse All

- ▶ Letter of Announcement (1)
- ▶ Letter of Announcement of Third Party Audit (1)

Process history

To complete the process task, the Audit Contact will have to upload all three annexes requested in the Letter of Announcement, in the order they are displayed in the process box, starting with Annex III.

To upload the first requested annex (Annex III), click the corresponding "Upload" button.

**In-house Audit**  
999840984  
AUPI-CAIA000112-999840984

26 Sep 2018

Started      LoA Annexes Submitted      DAR Comments Submitted      Closed

+ Upload Annex III of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

+ Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

+ Upload Annex I of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

Process documents

Process history

Choose from the drop-down list the document type you would like to upload: the Annex itself (mandatory) or "Additional info".

Upload attachment(s) ✕

Upload attachments to document: *Annexes to the Letter of Announcement - III - AUPI-CAIA000112-999840984.*

Attachment type:  
Additional Info Annex to the LoA Add new attachment

Additional Info Annex to the LoA  
Annex III to the LoA

*\* Mandatory*

Ok

Then click "Add new attachment" to attach the document.

Upload attachment(s) ✕

Upload attachments to document: *Annexes to the Letter of Announcement - III - AUPI-CAIA000112-999840984.*

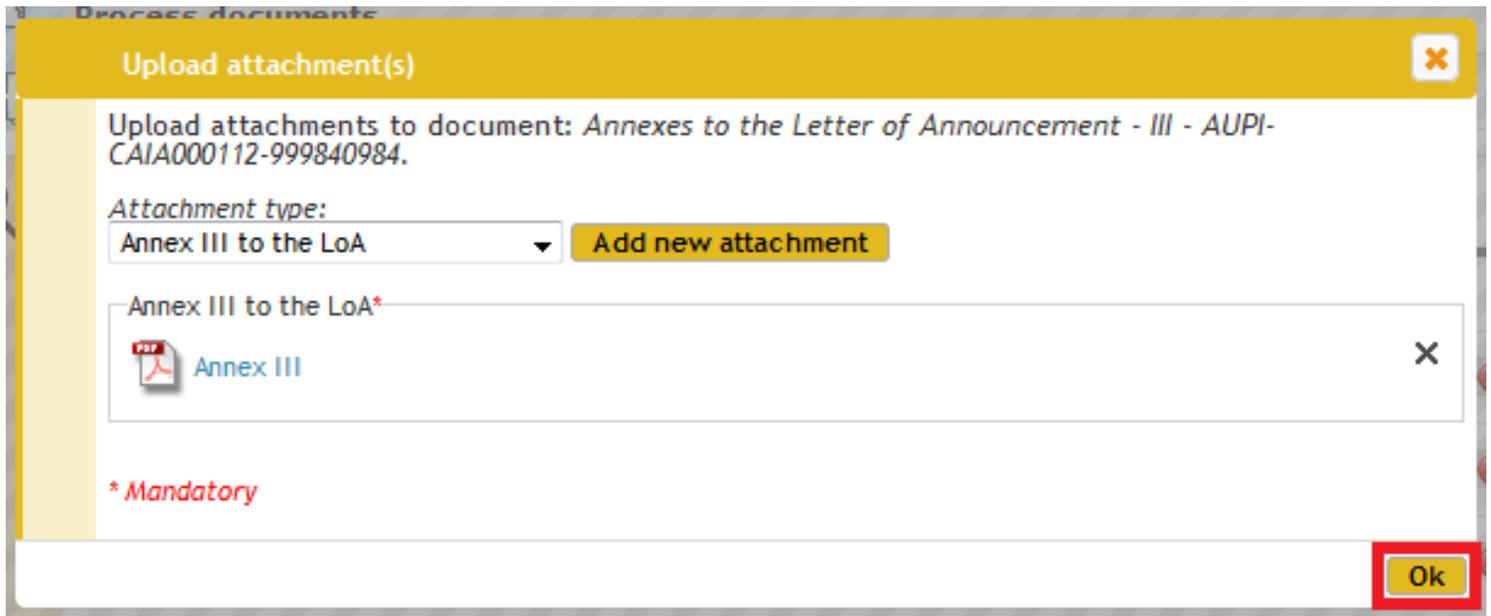
Attachment type:  
Annex III to the LoA Add new attachment

Annex III to the LoA\*  
Upload mandatory attachment

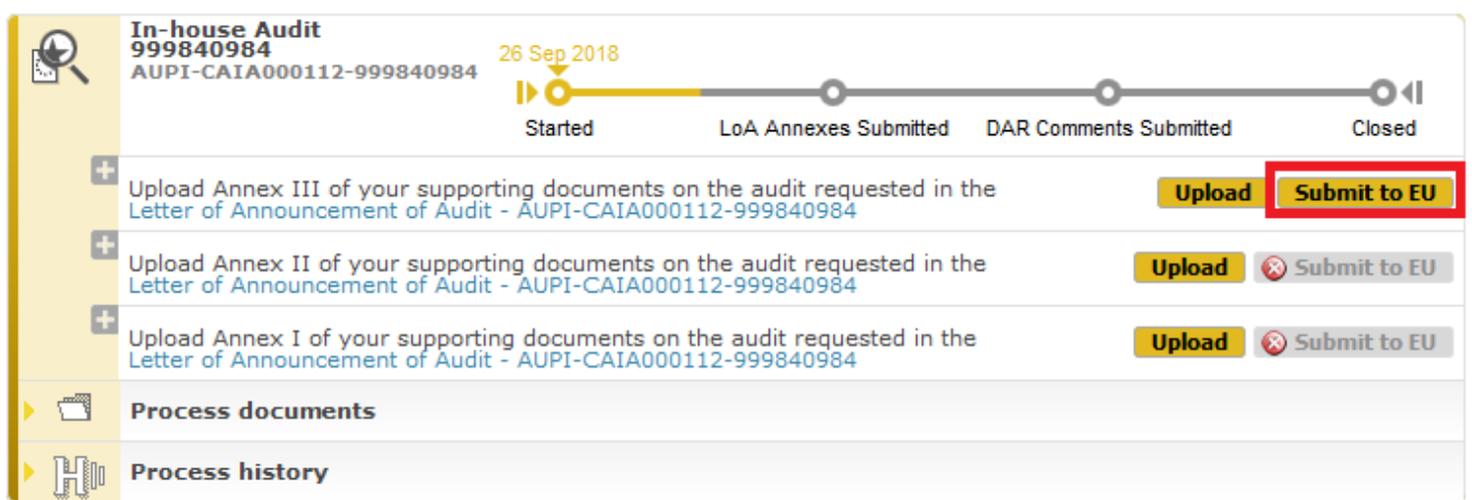
*\* Mandatory*

Ok

Once the uploading finished, click "OK".



After uploading all requested documents, click "Submit to EU" to submit the Annex.



 The action submit Annex 3 to Letter of Announcement is being processed. This should take a few minutes maximum.

A notification will be sent to the Commission to inform that the annex has been submitted.

To complete the process, submit the remaining two annexes, following the steps described above:

**In-house Audit**  
999840984  
AUPI-CAIA000112-999840984

26 Sep 2018

Started      LoA Annexes Submitted      DAR Comments Submitted      Closed

+ Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

+ Upload Annex I of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CAIA000112-999840984 **Upload**  Submit to EU

Process documents

Process history

⚠ It is possible to also download document/attachments in the original Excel format (not only the Ares-stamped .pdfs).

**In-house Audit**  
AUPI-CCIA000142-999985514

Launch new interaction with the EU **+**

27 Feb 2019

Started      LoA Annexes      DAR Comments      Closed

+ Upload Annex III of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CCIA000142-999985514 **Upload**  Submit to EU

+ Upload Annex II of your supporting documents on the audit requested in the Letter of Announcement of Audit - AUPI-CCIA000142-999985514 **Upload**  Submit to EU

Process documents Expand All Collapse All

▼ Annexes to the LoA from the Beneficiary (1)  
Annexes to the Letter of Announcement - I - AUPI-CCIA000142-999985514

 **Annexes to the Letter of Announcement - I - AUPI-CCIA000142-999985514**

 **JTIs denomination**

▶ Letter of Announcement (1)

Process history

The submitted annexes will be added to the **Process documents** section.

**In-house Audit**  
999840984  
AUPI-CAIA000112-999840984

26 Sep 2018

Started      LoA Annexes Submitted      DAR Comments Submitted      Closed

**Process documents** Expand All Collapse All

- ▼ **Annexes to the LoA from the Beneficiary (3)**
  - Annexes to the Letter of Announcement - I - AUPI-CAIA000112-999840984
  - Annexes to the Letter of Announcement - II - AUPI-CAIA000112-999840984
  - Annexes to the Letter of Announcement - III - AUPI-CAIA000112-999840984
- ▶ **Letter of Announcement (1)**
- ▶ **Letter of Announcement of Third Party Audit (1)**

**Process history**

**Step 3: The Audit Contact submits observations on the Draft Audit Report (DAR)**

The AUCo receives a PNS with a request to consult the Draft Audit Report (DAR) and upload and submit comments on it.

To consult the DAR, click **Process documents**.

**In-house Audit**  
999997930  
AUPI-CAIA000048-999997930

Launch new interaction with the EU +

12 Jul 2018

Started      DAR Comments Submitted      Closed

+ Upload your comments on the Draft Audit Report (DAR) Upload Submit to EU

**Process documents**

**Process history**

Then click **Draft Audit Report (DAR)** from the list.

The screenshot shows the 'In-house Audit' interface for reference number 999997930 (AUPI-CAIA000048-999997930). At the top right, there is a button 'Launch new interaction with the EU' with a plus sign. Below this is a progress bar with three stages: 'Started' (12 Jul 2018), 'DAR Comments Submitted', and 'Closed'. The 'Started' stage is highlighted in yellow. Below the progress bar, there is a section 'Upload your comments on the Draft Audit Report (DAR)' with 'Upload' and 'Submit to EU' buttons. Underneath, the 'Process documents' section is expanded, showing a list of documents: 'Audit Planning Memorandum (1)', 'Draft Audit Report (DAR) (1)', and 'Letter of Announcement (1)'. The 'Draft Audit Report (DAR) (1)' item is highlighted with a red box. At the bottom, there is a 'Process history' section.

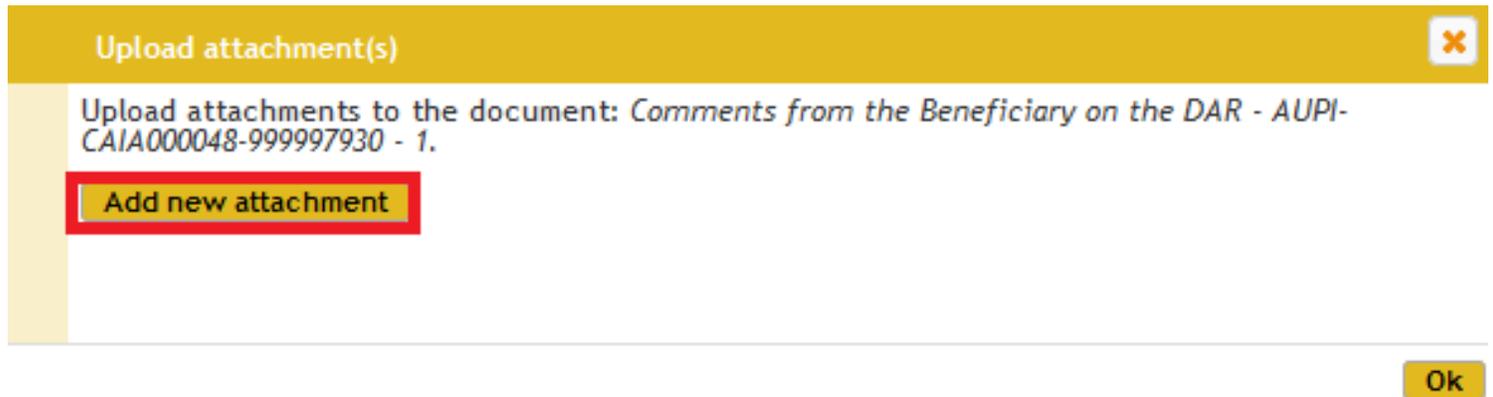
And finally click on the link corresponding to the document to download it.

This screenshot is similar to the previous one, but the 'Draft Audit Report (DAR) (1)' item in the 'Process documents' list is expanded, showing a sub-link: 'Draft Audit Report (DAR) - AUPI-CAIA000048-999997930'. This sub-link is highlighted with a red box. The 'Upload' and 'Submit to EU' buttons are also visible in the 'Upload your comments on the Draft Audit Report (DAR)' section.

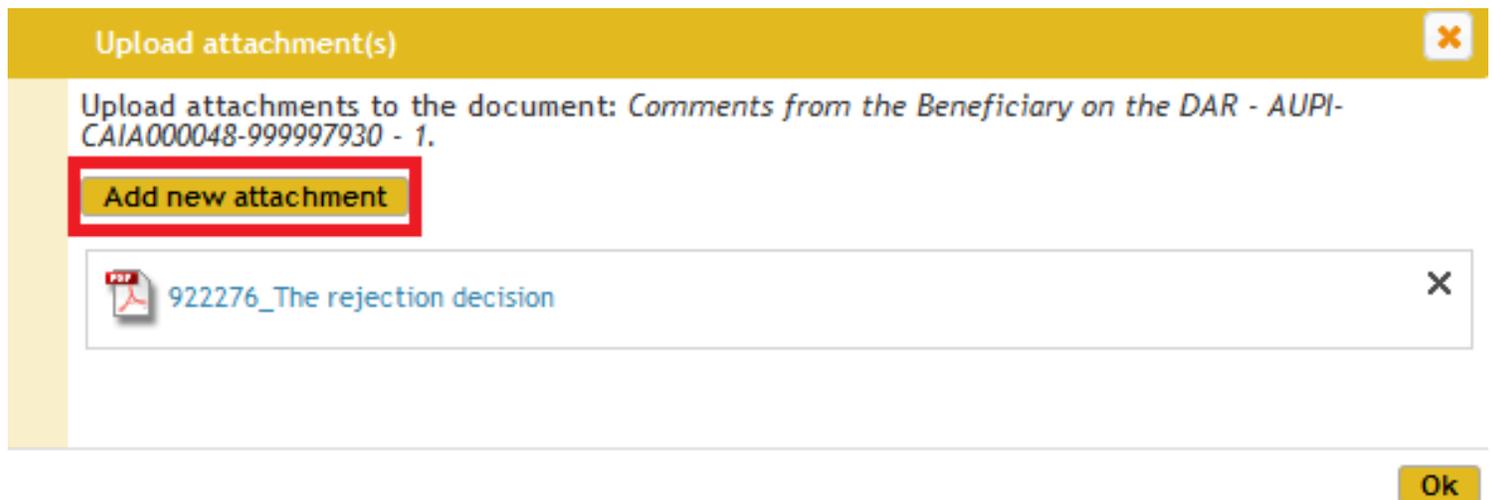
To upload the comments on the Draft Audit Report (DAR), click the "Upload" button.

This screenshot shows the 'Upload your comments on the Draft Audit Report (DAR)' section. The 'Upload' button is highlighted with a red box. The 'Process documents' section is collapsed, and the 'Process history' section is visible at the bottom.

In the pop-up window that opens, click the **Upload mandatory attachment** link to upload the file containing the observations.



Click the **Add new attachment** button to add any other supporting documents (if necessary).



To remove any of the uploaded documents, click the corresponding cross.

Upload attachment(s) ✕

Upload attachments to the document: *Comments from the Beneficiary on the DAR - AUPI-CAIA000048-999997930 - 1.*

**Add new attachment**

 922276\_The rejection decision ✕

**Ok**

Once finished uploading all necessary documents, click "OK".

Upload attachment(s) ✕

Upload attachments to the document: *Comments from the Beneficiary on the DAR - AUPI-CAIA000048-999997930 - 1.*

**Add new attachment**

 922276\_The rejection decision ✕

**Ok**

Click "Submit to EU" to submit your observations on the Draft Audit Report.

 **In-house Audit**  
999997930  
AUPI-CAIA000048-999997930

Launch new interaction with the EU +

12 Jul 2018

Started ——— DAR Comments Submitted ——— Closed

+ Upload your comments on the Draft Audit Report (DAR) Upload **Submit to EU**

>  **Process documents**

>  **Process history**

A notification will be sent to the Commission to inform that the observations have been submitted.

