

ESPON 2013 Programme – Member State's Description of the First Level Control System according to Article 16 of Regulation 1080/2006

Territorial Cooperation Programme, ESPON 2013
CCI 2007CB163PO022

- 6 FEV. 2008

SECTION	DESCRIPTION
<p>1. General</p> <p>1.1. Information submitted by:</p> <ul style="list-style-type: none"> • Member State • The main contact point <ul style="list-style-type: none"> ○ Name of the institution ○ Responsible unit ○ Address ○ Telephone, fax ○ E-mail address ○ Title (Mr/Mrs) ○ Name and Surname ○ Position within the unit 	<p>Department of the Environment, Heritage and Local Government Spatial Policy Custom House, Dublin 1 TEL 00 353 1 8882780, FAX 00 353 1 8882716 brian.kenny@environ.ie Mr Brian Kenny Assistant Principal</p>
<p>1.2. The information provided describes the situation on :</p>	<p>07/11/2007</p>
<p>2. System Structure</p> <p>What kind of system did you opt for?</p> <ul style="list-style-type: none"> - a centralized control system: a control body appointed at central level to carry out the control for all beneficiaries on the territory (please continue with question 2.1) <p>or</p> <ul style="list-style-type: none"> - a decentralized control system: the beneficiaries proposes a controller who is authorized by a central MS body or selects a controller from a short list provided by the MS (please continue with question 2.2)? 	<p>Centralised Control System</p>

<p>2.1 Centralised Control System</p> <p><u>Please describe the system.</u> Please indicate if the control is carried out by civil servants or by an external audit firm appointed for this specific mission. In case of an external audit firm, please explain how it was/will be appointed.</p>	<p>Control will be carried out by a Civil Servant at no extra cost. Procedures have been agreed to ensure that work will be prioritised and processed with the required timeframes as necessary.</p>
<p><u>Contact details of the controller</u> Please provide the contact details of the designated body who will undertake the controls.</p>	<p><u>Control Body 1</u></p> <ul style="list-style-type: none"> <input type="radio"/> Name of the institution: Department of the Environment, Heritage and Local Government <input type="radio"/> Responsible unit: Water Services Section <input type="radio"/> Address: Block 1, Irish Life Centre, Lower Abbey Street, Dublin 1 <input type="radio"/> Telephone, fax: Phone 00 353 1 8882323 Fax: 00 353 1 8882687 <input type="radio"/> E-mail address: alice.talbot@environ.ie <input type="radio"/> Title (Mr/Mrs): Ms <input type="radio"/> Name and Surname: Alice Talbot <input type="radio"/> Position within the unit: Chartered Accountant
<p><u>Contact details supervisory body</u> In case of an external controller, please specify the body fulfilling the supervisory duties and the contracting.</p>	<p><u>Supervisory Body 1</u> Name of body,</p> <ul style="list-style-type: none"> <input type="radio"/> Name of the institution <input type="radio"/> Responsible unit <input type="radio"/> Address <input type="radio"/> Telephone, fax <input type="radio"/> E-mail address <input type="radio"/> Title (Mr/Mrs) <input type="radio"/> Name and Surname <input type="radio"/> Position within the unit
<p><u>Controller's qualification</u> Which minimum requirements (degrees, work experience, national qualifications, and/or registration in professional organisations) does the controller under the centralized system described above shall fulfill?</p>	<p>The appointed first level controller mentioned above is a Chartered Accountant and has experience in auditing ERDF and Cohesion Structural Funds</p>

<p>2.2 Decentralized Control System Please describe the system.</p> <ul style="list-style-type: none"> - Will the beneficiary select a controller from a list of several public and/or private control bodies established on MS level beforehand <p>Or</p> <ul style="list-style-type: none"> - will the beneficiary propose an independent controller (internal or external), who is then authorized at central level before the first expenditure is reported and confirmed (please also refer to the guidance note established by the CU attached)? <p>In both cases, please explain the procedure for establishing the shortlist or authorizing the controller.</p> <p>If appropriate, please give also examples of types of possible control bodies.</p> <p>In case of use of shortlist of controllers, please provide the list (if not available yet, please indicate date of publication of shortlist).</p> <p><u>Controllers' qualification:</u></p> <p>Please explain the <u>minimum requirements</u> for a controller to act as Project partner/Lead partner controller (e.g. degrees, work experience, national qualifications, and/or registration in professional organisations).</p> <p>For the approbation/selection of controllers at central level, we suggest using the checklist provided in Annex 4 of the guidance note. Please confirm the use of this document or explain what kind of other document(s) (which has to be at least equivalent) you will use instead. Copy of the</p>	<p>N/A</p> <p>N/A</p>
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<p>equivalent documents should be provided to the ESPON Coordination Unit.</p> <p><u>Contact details of the central approbation body</u></p> <p>Please indicate the contact details of the central body in charge of establishing the shortlist of selected control bodies or the body in charge of authorizing the controller proposed by a project partner.</p>	<p><u>Central Approbation Body</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Name of the institution <input type="checkbox"/> Responsible unit <input type="checkbox"/> Address <input type="checkbox"/> Telephone, fax <input type="checkbox"/> E-mail address <input type="checkbox"/> Title (Mr/Mrs) <input type="checkbox"/> Name and Surname <input type="checkbox"/> Position within the unit
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<p>4. Separation of Functions</p> <p>Please explain how your Member State will ensure a clear separation of functions between the different bodies having responsibilities for the management and control of project(s) and/or the programme. If appropriate, please provide an organization chart to document the separation of functions between the bodies or units in charge of</p> <ul style="list-style-type: none"> - project activities and finances - the verification of the project expenditure and delivery of the products and services (so-called "first level control" according to Article 16 of Regulation 1080/2006) - the sample checks on operations (the so-called "second level audit" according to Article 14 (2) of Regulation 1080/2006 and Article 62 of Regulation 1083/2006) - and project approval/Monitoring Committee representation (according to Article 63 of Regulation 1083/2006)? 	<p>We ensure that:</p> <ul style="list-style-type: none"> -The first level controller is not involved in any project co-financed by ESPON Programme. -The first level controller is also absolutely independent from the second level controls/GoA. -The first level controller is not involved in the project approval/Monitoring Committee representation.
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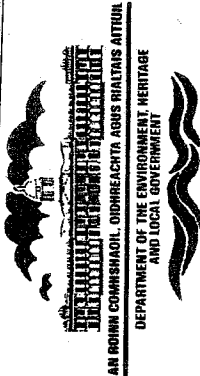
<p>5. First Level Control Delays</p> <p>How do you ensure that the first level control is carried out within 2 months after receipt of the documents?</p> <p>Three months are requested by the regulation 1080/2006, but the Lead Partner will also need two months after reception of the certification from the Project Partners to establish its own certification. This will allow the project to present a reimbursement claim four months after the completion of the six months reporting period)?</p>	<p>The first level controller has been informed about the two-month deadline and will comply with that.</p> <p>Controls to be managed within agreed procedures in which deadlines will be recognised and adhered to.</p>
<p>6. Quality Assurance /Guidance to FLC bodies</p> <p>The programme will establish</p> <ul style="list-style-type: none"> - ESPON control guidelines - a template for a FLC checklist - a template for a FLC report. - A control certificate inside the progress report to be signed by the FLC. <p>The use of these standardized documents will be obligatory.</p> <p>Have you provided any additional guidance to the body/bodies in charge of first level control to ensure sound financial control (such as written guidelines, training)</p> <p>If yes please provide</p> <ul style="list-style-type: none"> - the reference - the date - related documentation (if applicable). <p>Copies of the additional guidance documents should be provided to the ESPON Coordination Unit as soon as they will become available.</p>	<p>We confirm that the first level controller will make use of the ESPON documents, no additional guidance is proposed.</p>

Please describe how you will ensure that the guidance is followed and the requirements resulting Article 60 b) of Regulation (EC) No 1083/2006 and from the ESPON 2013 control guidelines and ESPON 2013 control certificate are respected.

The appointed first level controller is aware of the requirements stated in this article and will ensure that the first level controls will be implemented according to the requirements stated therein.

7. Control Cost
 Who will pay for the control? Will it be provided for free (by the MS) or will the cost be borne by the Lead/Project partner and thus reported as eligible cost within the project?
 If the control cost is borne by the beneficiary and to be reported as eligible project cost, please provide details on how the cost is calculated, what is the basis for the payment (e.g. service contract) and to whom it has to be paid.

No cost for the project partners.

Name, Title + Organisation of Signatory for the MS	Place, Date and Stamp
Mr Brian Kenny, Assistant Principal, Department of the Environment, Heritage and Local Government. <i>Brian Kenny 31/1/08</i>	Custom House Dublin 1 Ireland  31 JAN 2008

Thank you in advance for sending the filled-in questionnaire including relevant annexes by 7 September 2007 to the following address:

ESPON Coordination Unit
 CRP HT – BP 144
 L-4221 Esch sur Alzette
 Luxembourg

If you need assistance or any further information/details for filling in the document, please contact Sara Ferrara (e-mail: sara.ferrara@espon.eu Tel. +352. 54.55.80.705).