

<b>SECTION</b>	<b>DESCRIPTION</b>
<b>1. General</b>  1.1. Information submitted by: <ul style="list-style-type: none"> <li>• Member State</li> <li>• The main contact point               <ul style="list-style-type: none"> <li>○ Name of the institution</li> <li>○ Responsible unit</li> <li>○ Address</li> <li>○ Telephone, fax</li> <li>○ E-mail address</li> <li>○ Title (Mr/Mrs)</li> <li>○ Name and Surname</li> <li>○ Position within the unit</li> </ul> </li> </ul>	Switzerland <i>Department of the Environment, Transport, Energy and Communications DETEC</i> Federal Office for Spatial Development ARE International Affairs CH-3003 Berne +41313220625 +41313227869 Mrs JOST Silvia Head of unit
1.2. The information provided describes the situation on :	15/12/07
<b>2. System Structure</b>	
What kind of system did you opt for? <ul style="list-style-type: none"> <li>- a <u>centralized control system</u>: a control body appointed at central level to carry out the control for all beneficiaries on the territory (please continue with question 2.1)</li> <li>or</li> <li>- a <u>decentralized control system</u>: 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)?</li> </ul>	Centralized control system

## 2.1 Centralised Control System

<p>Please describe the system. 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>Civil servant</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>Staatssekretariat für Wirtschaft SECO Direktion für Standortförderung Ressort Regional- und Raumordnungspolitik therese.moser@seco.admin.ch Effingerstrasse 27, 3003 Bern Tel. +41 31 324 48 31 Fax +41 31 322 27 68 Therese MOSER WENGER Sachbearbeiterin</p>
<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>Supervisory Body <u>1</u> Name of body,  <ul style="list-style-type: none"> <li><input type="radio"/> Name of the institution</li> <li><input type="radio"/> Responsible unit</li> <li><input type="radio"/> Address</li> <li><input type="radio"/> Telephone, fax</li> <li><input type="radio"/> E-mail address</li> <li><input type="radio"/> Title (Mr/Mrs)</li> <li><input type="radio"/> Name and Surname</li> <li><input type="radio"/> Position within the unit</li> </ul> </p>
<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 fulfil?</p>	<p>Therese MOSER WENGER is responsible for the FLC and audit related to regional policy and INTERREG projects since a long time.  <ol style="list-style-type: none"> <li>1. INTERREG and ESPON (12 years)</li> <li>2. administrator; accounting officer</li> <li>3. in charge of FLC since 12 years</li> <li>4. good knowledge on national regulations and structural funds</li> <li>5. we will have a regular exchange meeting between the different EU programmes to guarantee a good level of control</li> <li>6. EU legal framework and Swiss legal framework are well known and applied</li> <li>7. she was responsible for the FLC ESPON 2006 and managed the English documents</li> </ol> </p>

**2.2 Decentralized Control System**

Please describe the system.

- Will the beneficiary select a controller from a list of several public and/or private control bodies established on MS level beforehand

Or

- 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)?

In both cases, please explain the procedure for establishing the shortlist or authorizing the controller.

If appropriate, please give also examples of types of possible control bodies.

In case of use of shortlist of controllers, please provide the list (if not available yet, please indicate date of publication of shortlist).

Controllers' qualification:

Please explain the minimum requirements for a controller to act as Project partner/Lead partner controller (e.g. degrees, work experience, national qualifications, and/or registration in professional organisations).

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 equivalent documents should be provided to the ESPON Coordination Unit:

**Contact details of the central approbation body**  
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.

- Central Approbation Body**
- Name of the institution
  - Responsible unit
  - Address
  - Telephone, fax
  - E-mail address
  - Title (Mr/Mrs)
  - Name and Surname
  - Position within the unit

**4. Separation of Functions**

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

- 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)?

The separation is given – separate ministries and different responsibilities  
The first level controller is neither involved in projects, nor in the second level audits (Up to Eidgenössisches Finanzdepartement), nor in the project approval (*Department of the Environment, Transport, Energy and Communications DETEC*, Federal Office for Spatial Development ARE, International Affairs).

<p><b>5. First Level Control Delays</b></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>Yes. This guarantee is given. This deadline has been internally set for the controller and the controller is aware of it.</p>
<p><b>6. Quality Assurance/Guidance to FLC bodies</b></p> <p>The programme will establish</p> <ul style="list-style-type: none"> <li>- ESPON control guidelines</li> <li>- a template for a FLC checklist</li> <li>- a template for a FLC report.</li> <li>- A control certificate inside the progress report to be signed by the FLC.</li> <li>- The use of these standardized documents will be obligatory.</li> </ul> <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"> <li>- the reference</li> <li>- the date</li> <li>- related documentation (if applicable).</li> </ul> <p>Copies of the additional guidance documents should be provided to the ESPON Coordination Unit as soon as they will become available.</p> <p>Please describe how you will ensure that the</p>	<p>The contact between the MC representative and the first level controller is regular and the information flow is assured.</p> <p>The controller will use the documents mentioned.</p> <p>No additional guidance is provided.</p> <p>As the FLC controller is a civil servant she has to follow the federal law and therefore she will follow</p>

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 instructions on first level control set up by the Programme and ensure that the requirements of Article 60 b) of Regulation (EC) No 1083/2006 will be fulfilled.

7. Control Cost	
<p>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?</p> <p>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.</p>	<p>No, the first level control is done by a national administration. They cannot ask for a payment.</p>

Name, Title + Organisation of Signatory for the MS	Place, Date and Stamp
<p><i>Anne Le Duguez Berny, National Coordinator, A. Kerry</i></p> <p><i>ADJ R.</i></p>	<p><b>SECO</b> Promotion de la place économique Politique régionale et d'organisation du territoire Effingerstrasse 27 3003 Berne</p> <p><b>10 JAN. 2007</b> <i>Berne</i></p>

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](mailto:sara.ferrara@espon.eu) Tel. +352. 54.55.80.705).