**Checklist with criteria for the approbation of a First Level Controller**

**in a decentralised system**[[1]](#footnote-1)

**Project**

|  |  |
| --- | --- |
| Programme | INTERREG South Baltic Programme 2021-2027 |
| Acronym |  |

**Partner to be controlled**

|  |  |
| --- | --- |
| Name of the Partner’s institution in national language |  |
| Name of the Partner’s institution in English |  |
| Name and surname of contact person for FLC matters |  |
| Position in the Partner’s institution |  |
| Name and surname of the authorized signatory for the Partner’s institution if not identical with contact person for FLC matters |  |
| Position in the Partner’s institution |  |
| Phone |  |
| Partner’s e-mail |  |
| Function in the project? | Lead Partner  Partner |

**Partner’s Controller**

|  |  |
| --- | --- |
| Name of the institution |  |
| Name and surname of Partner’s controller |  |
| Phone |  |
| E-mail of partner controller’s institution |  |
| Personal e-mail address of controller[[2]](#footnote-2) |  |

**Questions regarding professional competence, skills and experience**

|  |  |
| --- | --- |
| Please describe the controller’s individual professional skills and experience in the control/audit field. |  |
| Please describe the controller’s individual professional skills and experience in the field of control of projects co-financed from EU-funds (Structural Funds and ERDF in particular). |  |
| Is the controller’s knowledge of English sufficient in order to read and understand all relevant documents? |  |

**Questions regarding independence**

|  |  |
| --- | --- |
| Can the controller ensure that he/she is professionally independent and is not involved in:   * project preparation and approval * project activities (incl. signing the project report as Lead Partner/partner) * project finances (project accounting and payment orders)? |  |
| Can the controller ensure that neither he/she nor the his/her spouse or relative to the second degree is not employed in the Partner’s organisation on the managerial position? |  |
| Can the controller ensure that he/she will exclude himself/herself from carrying out activities related to this project in the event of circumstances indicating a possible violation of the principle of impartiality? |  |
| Can the controller ensure that he/she will not communicate to unauthorized persons or entities any confidential information related to the project disclosed to him/her in the course of activities carried out as the controller? |  |
| What is the basis for the controller to carry out the control: a service contract, a mandate, other? Please specify. |  |
| Is the controller registered: i.e. is he/she a member of a professional organisation/body? If yes, please specify which one |  |
| Is the controller bound to a professional code of conduct or other rules defining his/her function and independence? |  |

**Questions regarding the knowledge on the project’s specifics and respect of programme’s specifics and provisions**

|  |  |
| --- | --- |
| Did the controller receive and study the following documents:   * Programme Manual * Programme guidance on control (incl. control checklists) * National eligibility guidelines (if applicable) * Approved application form * Subsidy contract and Partnership agreement or their draft if not signed yet * the User manual on working in the SL system |  |
| Can the controller ensure that the requirements resulting from Article 74 (1) a) and (2) of Regulation (EC) No 2021/1060 and from the Programme control guidelines and Programme control documents are respected? |  |
| Can the controller ensure that in case of detecting irregularities[[3]](#footnote-3) with impact on previously approved Partner Progress Reports, findings will be immediately notified to the Managing Authority? |  |
| Can the controller ensure that all the information on the results of the verifications from art 74 (1) (a) and(2) of Regulation (EC) No 2021/1060 will be forwarded to the National Authority upon its request? |  |
| Can the controller ensure that his/her work is properly documented and accessible to ensure an efficient review of the work in a way that any other controller/auditor can perform again the control with the only use of the control file? |  |
| Can the controller ensure that the verification of the Partner Progress Report will be carried out within 90 calendar days? |  |
| Can the controller ensure that the results of the verification of the Partner Progress Report will be registered in the SL2021 system? |  |
| Can the controller ensure that the results of the on the spot control and of external controls on the projects will be registered in the SL2021 system (e-Controls)? |  |

**Signatures**

|  |  |  |
| --- | --- | --- |
|  | Place and date | Signature and stamp |
| First Level Controller |  |  |
| Partner to be controlled – authorized signatory |  |  |

**Consent for processing personal data**

|  |
| --- |
| According to :  - Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (Official Journal of the European Union L 119 of 4/5/2016 page 1–88) ;  - Programme documents. |

**Signatures**

|  |  |  |
| --- | --- | --- |
|  | Place + date | Signature |
| First Level Controller |  |  |
| Contact Person for FLC matters of Partner to be controlled |  |  |

1. for further information on the FLC approbation process see Programme’s General Principles on FLC in STHB Programme 2021-2027 chapter 3.4 [↑](#footnote-ref-1)
2. Personal e-mail address of the controller who will have access to the SL 2021 [↑](#footnote-ref-2)
3. Definition of irregularity is given in Art 2 (31) of the Regulation (EC) No 2021/1060 and further explained in the Programme’s General Principles on FLC in STHB Programme 2021-2027, chapter 7.7. [↑](#footnote-ref-3)