



Checklist for Designation of 1st Level Controllers

Project:

Project name	Clean North Sea Shipping - Improved dissemination and impact
Acronym	CNSS-IDI
File number	35-2-6-14
Lead Beneficiary Organisation	Hordaland County Council
Contact person	Ivar Petter Grøtte
Organisation	Agnes Mowinckels gate 5 PO.box 7900, Bergen 5020, NORWAY
Address	004755239321
Telephone number	004755239001
Fax	Lars.Tveit@hfk.no
E-mail	Clean North Sea Shipping - Improved dissemination and impact

Beneficiary to be controlled¹:

Contact person	Anna Venema
Organisation	Harlingen Municipality
Address	PO box 10000, Harlingen 8860, THE NETHERLANDS
Telephone number	0031652011177
Fax	0031652011177
E-mail	an.venema@harlingen.nl
Function in the project	<input type="checkbox"/> Lead Beneficiary <input checked="" type="checkbox"/> Beneficiary <input type="checkbox"/> Sub-Partner

Controller:

Name	D.E. Engwerda
Job title	Partner
Organisation	Ernst & Young Accountants LLP
Address	Zwartewaterallee 56
Telephone number	088-4073390
Fax	088-4079405
E-mail	daniel.engwerda@nl.ey.com

Beneficiary budget:

External experts	-
Temporary staff	-
Permanent staff	€ 15.000
Travel and accommodation	€ 5.000
Meetings, conferences and seminars	€ 2.000
General costs	-
Promotion and publication	€ 6.000

¹ If the controller will carry out control also on all sub-partners of the beneficiary, they must be listed as well. If the beneficiary took over the responsibility for the correct use of funds of any beneficiary outside eligible area the controller has to carry out control on the expenditure of the beneficiary outside eligible area and this beneficiary must be listed here as well.



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Material investments (including infrastructure)	
Audit (control)	€ 2.000
Other	
Irrecoverable VAT	-
- Revenue	-
Total eligible expenditure	€ 30.000
Ineligible expenditure	-
Total expenditure	€ 30.000

Information regarding the professional competence, skills and experience of the controller:

1	Please describe the controller's individual professional skills and experience (including duration).	Mr. Engwerda graduated in 2002 as a chartered accountant and since 2012 he is also responsible for the activities of the department Subsidy Audit Services (hereinafter: SAS). The activities of SAS includes controls of national and European funded projects including Interreg funded projects.
2	Please describe the controller's individual professional skills and experience in the field of control of projects co-financed by EU-funds (Structural funds and ERDF in particular).	Since 2010 Mr. Engwerda is involved in the audits of European projects (ERDF, ESF, FP6, FP7, INTERREG).
3	Is the controller's command of the programme working language (English) sufficient to read and understand all relevant documents and guidance notes?	Mr. Engwerda and the employees of SAS, which are involved in the control of European projects, master the Dutch and English language sufficient.

Questions regarding independence:

4	<p>Is the controller from a unit/organisation which is professionally independent from the unit/organisation dealing with the activities and finances of the Interreg IVB North Sea Region project in question?</p> <p>Can you as a project controller confirm that the unit/organisation, in which you are working, is not involved with (in the context of this project):</p> <ul style="list-style-type: none"> • Project approval? • Project activities including signing the project report as project partner? • Project finances including project accounting and payment orders? 	<p>Yes.</p> <p>Yes</p>
5	Is the controller internal i.e. employed by the project beneficiary or external?	An external independent auditor.



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6	<p>If the controller is internal</p> <p>Is the controller's independence regulated by law, local or internal rules in your country e.g. rules regarding the internal controllers function or code of conduct? If so, please describe the nature of these rules.</p> <p>Please provide an organisational chart illustrating the units where the activities and finances are managed, where the payments are ordered and where the control is carried out.</p> <p>Please indicate commanding officer/body of the controller?</p>	Not applicable.
7	<p>If the controller is external</p> <p>Is the controller a private or public body?</p> <p>On what basis is the control executed e.g. a service contract, a mandate or other? (Please specify)</p> <p>Is the controller a member of a professional body? If so, please indicate which.</p> <p>Is the controller obliged to a professional code of conduct or similar rules defining his/her function and independence?</p>	<p>Private company: Ernst & Young Accountants LLP</p> <p>Mandate</p> <p>Mr. Engwerda is registered with the NBA.</p> <p>Applied is the Code of Ethics for Professional Accountants issued by the IFAC.</p>
8	<p>Please confirm your independence as a controller i.e. that you are not executing tasks under circumstances which could raise any reasonable doubt about your independence.</p>	Yes, we can confirm this.



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Other:

9	<p>Did the controller receive and is familiar with the content and principles of:</p> <ul style="list-style-type: none"> • Project application • The project contract • The partnership agreement • Regulation (EC) 1828/2006? • Regulation (EC) 1080/2006? • Regulation (EC) 1083/2006? • INTERREG IVB North Sea Region Operational Programme (OP) • The North Sea Region Programme Fact Sheets? • Manual for the 1st level control in the Interreg IVB North Sea Region Programme? 	<p>Yes, the controller received these documents and is familiar with the content and principles in these documents.</p>
10	<p>Can the controller ensure that his/her work is properly documented and accessible to an extent where it will be possible for a 3rd party controller to execute control with the same level of confidence based on the control file only?</p>	<p>Yes, all activities are recorded in a file in which the control protocol and the accompanying checklist audit be taken as a basis. The file is a hardcopy file where all the information is stored.</p>
11	<p>In case of beneficiary controllers, within the limits of the relevant national regulations, will the controller accept to carry out extra checks or deliver extra documents if so requested by the lead beneficiary controller?</p>	<p>Yes, within the limits of the relevant regulations we will carry out extra checks or deliver extra documents if so requested by the lead beneficiary..</p>
12	<p>In case of Lead Beneficiary controllers, within the limits of the relevant national regulations, will the controller be able to base his/her statements on the statements received from beneficiaries' controllers, if they meet the minimum standards set at programme level (c.f. Manual for the 1st level control).</p>	<p>Not applicable.</p>
13	<p>Can the controller ensure that the control of each periodic report will be carried out within 4 weeks (6 weeks for Lead Beneficiary controllers) after the end of each reporting period?</p>	<p>If the necessary information is delivered in time by the beneficiary, we ensure that the work will be completed in time.</p>



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Signatures (including place and date):

Project CNSS-IDI	
Beneficiary organisation	Controllers organisation
Harlingen Municipality M. le Roy G. Andringa	Ernst & Young Accountants LLP D.E. Engwerda
Harlingen, February ..., 2015	Zwolle , February 20, 2015

Beneficiary signature and stamp ²	Controllers signature and stamp ³

Place, date and stamp

Name of the signatory and signature
 on behalf of the MS Designation body

² In cases where stamps are not used as a result of internal procedures, please indicate this.