



# **Better Risks Management**

*Sampling operations, payment claims and expenditures  
in a simple and effective way*

19-21 October 2022

**Roma**

**By**

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# The New Risks Management

## *Applying Risks-based checks on Programmes, projects and costs*

- Learning objective
  - Understanding of key components and process elements of risk management
  - Example list of EU funds specific risks
  - Practical guidances to evaluate and improve risk management system
- Learning points
  - To create systematic understanding of risk management concept
  - To tackle in concrete the identification of generic / specific risks
  - To ensure the full scoring and weighting of risks factors
  - To make sampling of operations, PC and expenditures (case studies)
  - To set up a full action plan of mitigation actions / corrections
  - To reinforce ex-ante risks management
  - To improve on-the-spot checks
  - To ensure full risks-based strategy for selection of operations / expenditures
- Special points
  - Direct integration of latest guidance from EC
  - Lecture, practical examples
  - Case studies
  - Templates to be used directly after the training



# Goran ZAKANJI

## Audit Authority – Head for ESF, FEAD and ERASMUS+

- Trainer on audit, internal controls and sampling
- International Expert:
  - Support to development of an effective internal control and audit environment in public sector in Moldova
  - Further development and strengthening of the organizational, administrative and technical capacities of the Audit Authority of Macedonia
  - Implementation of a modern Financial Management and Control System and Public Financial Inspection in Albania
  - Support to the capacity building of the Audit Authority, Serbia
  - Technical Assistance and Information Exchange instrument of the European Commission (TAIEX) expert
  - Strengthening of Audit Authority of Montenegro
  - TAIEX expert
- Member of the EC working group «Increasing efficiency of audit activities by making best use of management verifications»



## Franck Sottou

*Senior International Management and Control Expert*

- Key international Expert
  - Management and control systems
  - Indicators and performance measurement (data collection)
  - Simplification and economical, social and environmental strategies
- Former Head of TA Team
  - Programming, negotiations with EC, management & control systems
- Trainer and Consultant for European Institutions, Managing and Certifying Authorities, IB and Implementing Agencies
- Currently working for Member States for technical assistance
  - Design of logframes and selection of indicators
  - Calculation and implementation of SCOs
  - Recommendations about simplification and efficiency of systems

# The New Risks Management

## *Applying Risks-based checks on Programmes, projects and costs*

### DAY 1 : Making identification of risks and risks factors

#### Morning session \*

9.30am to 12.30pm

#### Step 1: The new expectations for the 2021-2027 period

- New risks-based administrative and on-the-spot checks
- New application of professional judgement
- New order of verification and specific risks associated

#### Step 2: The Initial risk assessment definitions and methods

- Classification of risks and risks factors
- Specific EU funds risks v. IFAC standards
- Scoring of likelihood and impact
- The specific risk assessment methodology (examples)

*Lunch from 12.30pm to 2.00pm*

#### Afternoon session

2.00pm to 4.30pm

#### Step 3: Case study

- Identification and classification of risks
- The specific fraud risk assessment system
- Risks-based checks: introduction and concrete case work on the strategy of checking at operation, Payment Claims, expenditures and on-the-spot level

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## *Applying Risks-based checks on Programmes, projects and costs*

### DAY 2 : ensuring sampling of costs, payment claims and operations

#### Morning session

9.00am to 12.30pm

#### Exercises in group : workshop

#### Practical cases : selection of operations and expenditures to be verified

- Screening or risks and sample sizes
- Case 1 : Methods and exercises about sampling operations
  - Identification & weighting of risks
- Case 2 : Sampling of expenditures
  - Discussion based on case work

*Lunch from 12.30pm to 2.00pm*

#### Afternoon session

2.00pm to 4.00pm

#### Step 4: Specific focus on Simplified Costs options

- Options and success conditions
- Specific risks at operation and expenditure levels
- Case study for a single lump sum
- Consequences for the contract and beneficiaries audit trail
- Lessons to be learnt for Managing Authorities / IB and audit authorities

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## *Applying Risks-based checks on Programmes, projects and costs*

### DAY 3 : adapting systems and tools to the new expectations

#### Morning session

9.00am to 12.30pm

#### Exercises in group : risks & mitigation of actions workshop

##### Practical consequences on the Management and Control system (walk-through):

- Risks identification and prevention
- Ex-ante checks / Contracts
- Payment claims and on-the-spot checks
- Risks managers v. verification officers
- Audit trail

*Lunch from 12.30pm to 2.00pm*

#### Afternoon session

2.00pm to 4.00pm

#### Step 5: Full action plan

- Concluding on risks and issuing a clear risks strategy
- Improvement of control systems and cost-effective controls
- Conditions for successful introduction and implementation of SCOs
- Changes for the officers and daily jobs
- Focus on Annual reports & dealing with the Management Declaration of Assurance

# Prices

Days	Total net amount €	Discounts	Including
<b>Face-to-face</b>			
2-day	1109,00	15% early registration (up to 2 months before the event) ; 10% for 2 or more participants from the same institution	Training material; breaks, lunches and 1 dinner for the 4 and 5-day Seminars, full access to ETCP platform and quizzes, certificate of qualification
3-day	1305,00		
4-day	1405,00		
5-day	1480,00		



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