



European Commission

Directorate General Regional Policy
Directorate General Employment, Social Affairs and Equal Opportunities
Directorate General Agricultural and Rural Development
Directorate General Maritime Affairs and Fisheries

SFC2007 Information System

Member State Compliance Assessment Authority Manual

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Document History

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0.1	12/11/2007	Initial draft	WN
1.0	05/06/2008	Approved version including disclaimer	WN
1.1	03/07/2009	Applied new template	WN

1. INTRODUCTION

1.1. Definition

The Member State Compliance Assessment Authority (MSCO) has been created specifically to upload documents on the Management and Control System. It is probable that someone from the Audit Authority will be charged with these tasks, but this is not necessarily the case. This is why, in the matrix compatibility, MSCO & MSAA are compatible. The MSCO has no need to see the documents that will be sent by the MSAA later.

1.2. Tasks

The MSCA has the following key responsibility:

- [Managing Management and Control Systems Dossiers](#)

1.3. References used in this Manual

The following references are used throughout this manual:

Ref	Name	File name
[R1]	Glossary	SFC2007-BM-033 Business Glossary
[R2]	Introduction Guide	SFC2007-MAN-183 Introduction Guide
[R3]	European Commission Operating Agent Manual	SFC2007-MAN-190 European Commission Operating Agent Manual
[R4]	Member State Authority Manual	SFC2007-MAN-185 Member State Authority Manual
[R5]	Member State Managing Authority Manual	SPF2007-MAN-184 Member State Managing Authority Manual

1.4. Disclaimer

The information contained in this manual is for guidance only and is a description on how to use the SFC2007 application. There can be no guarantees as to the accuracy of the descriptions due to the evolving nature of the computer system. In no way does this information replace the regulations or could be considered as a legal interpretation of the Commission services.

2. MANAGING MEMBER STATE MANAGEMENT AND CONTROL SYSTEMS DOSSIERS

2.1. Introduction to the Member State Management and Control Systems

The Management and Control Systems are set up by the Member State for one or more Operational Programmes. It provides the following elements:

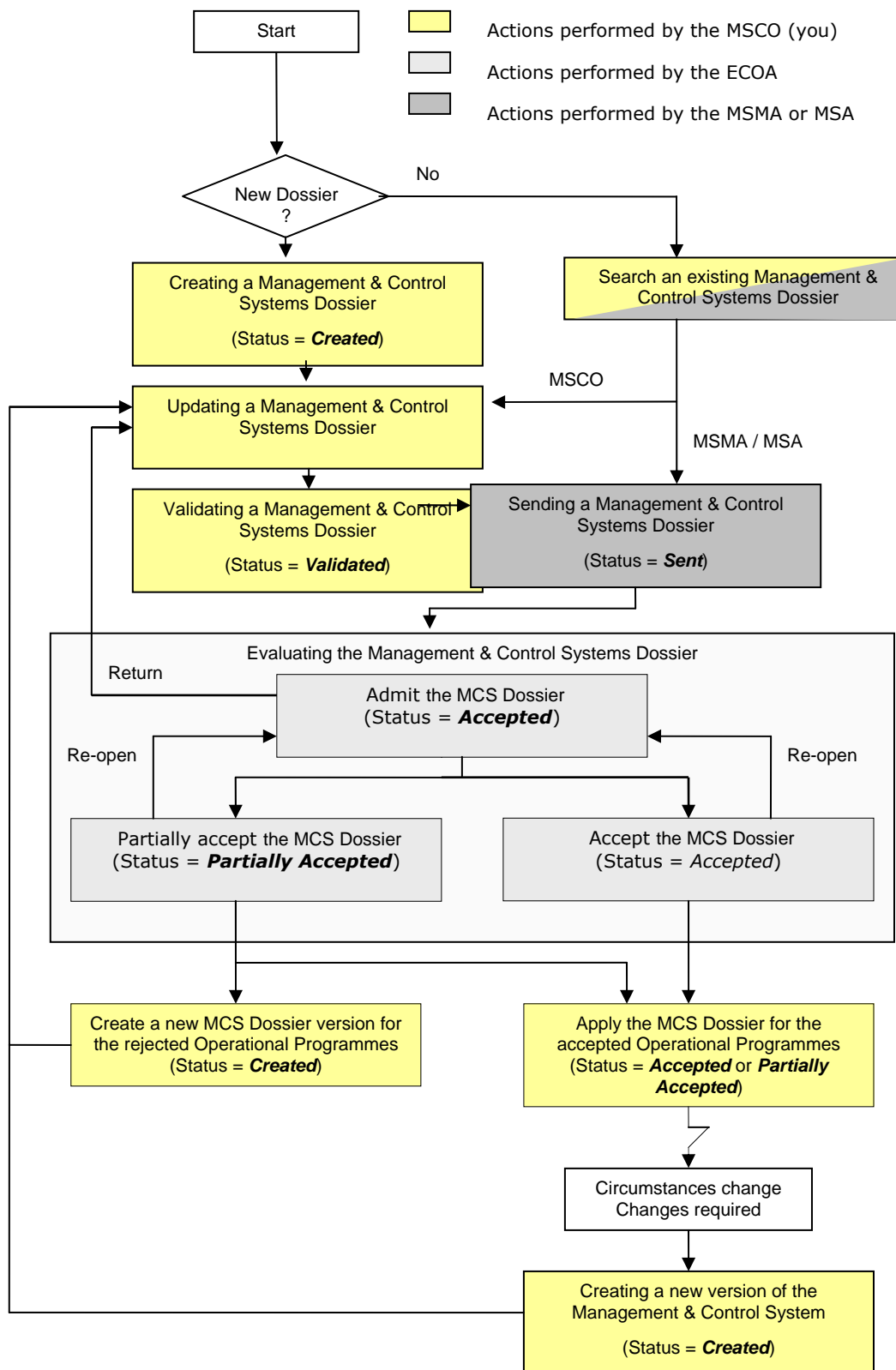
- the definition of the functions of the bodies concerned in management and control and the allocation of functions within each body
- compliance with the principle of separation of functions between and within such bodies;
- procedures for ensuring the correctness and regularity of expenditure declared under the operational programme;
- reliable accounting, monitoring and financial reporting systems in computerised form;
- a system of reporting and monitoring where the responsible body entrusts the execution of tasks to another body;
- arrangements for auditing the functioning of the systems;
- systems and procedures to ensure an adequate audit trail;
- reporting and monitoring procedures for irregularities and for the recovery of amounts unduly paid.

(Article 58 of the Council Regulation (EC) No 1083/2006)

2.2. Managing Managing and Control Systems dossiers: Workflow overview

Managing a Management and Control Systems Dossier involves going through a workflow consisting of several procedures. Some procedures are performed by you, the Member State Compliance Assessment Authority (MSCO), while other procedures are performed by the Member State Management Authority (MSMA), Member State Authority (MSA) or the European Commission Operating Agent (ECOAG).

An overview of this workflow is displayed below:



The actions you perform are represented as yellow boxes. Click one of the links below to access a detailed description:

- [Creating Management and Control Systems Dossiers](#)
- [Searching existing Management and Control Systems Dossiers](#)
- [Updating Management and Control Systems Dossiers](#)
- [Validating Management and Control Systems Dossiers](#)
- [Creating a new version of a Management and Control Systems Dossier](#)

The actions performed by the Member State Managing Authority (MSMA), Member State Authority (MSA) and European Commission Operating Agent (ECO) are displayed in gray boxes. Refer to the sections [Sending Management and Control Systems Dossiers to the European Commission \(by the MSMA or MSA\)](#) and [Evaluating submitted \(sent\) Management and Control Systems Dossiers \(by the ECO\)](#) to access short descriptions. A full description of these procedures can be found in the SFC2007 manuals dedicated to the [Member State Management Authority](#) and the [Member State Authority](#).

2.3. Creating Management and Control Systems Dossiers

This procedure explains how a Management and Control Systems Dossier is created by means of a Creation Wizard.

1. **On the SFC2007 initial screen, select the option *Management & Control Systems* from the *Audit* drop-down menu:**



The following screen is displayed:

Title	Version	Status	Previous Node	Current Node	Last Modified
Management & Control system for PT	1	Created	Portugal	Portugal	12/11/2007

This screen contains the following standard panes:

- **Search pane:** This pane allows defining Search criteria for finding existing Management and Control Systems Dossiers.
- **List of Member State Management and Control Systems Dossiers:** This pane lists default information for existing Management and Control Systems Dossiers.
- **Create a new Member State Management and Control Systems Dossier** link

2. Click the link *Create a new Member State Management and Control Dossier*.

The first phase of the Management and Control Systems Dossier Creation Wizard, called *General Details*, is displayed:

The following fields are available:

- [Title](#)
- [Comment](#)

For a description of these fields, refer to section [Management and Control Systems Dossier – General Details Data fields](#) or click an individual field link in the list above.

3. Enter data as required and click the *Next* button.

The second phase of the MCS Creation Wizard, called *Programmes Covered*, is displayed:

The following fields are available:

- [Operational Programme CCI](#)
- [Operational Programme Title](#)
- [Opinion options](#)
- [Opinion Comment](#)

For a description of these fields, refer to section [Management and Control Systems Dossier – Programmes Covered Data fields](#) or click an individual field link in the list above.

4. Click the Operational Programme CCI field:



The following dialog is displayed:



This dialog contains the Operational Programme CCI for which:

- The Operational Programme is linked to a Commission Decision;
- The Operational Programme is linked to a Member State or a geographical region to which the User has read access.
- The Operational Programme is funded by a DG accessible by the User.

5. Click the link matching the required Operational Programme.

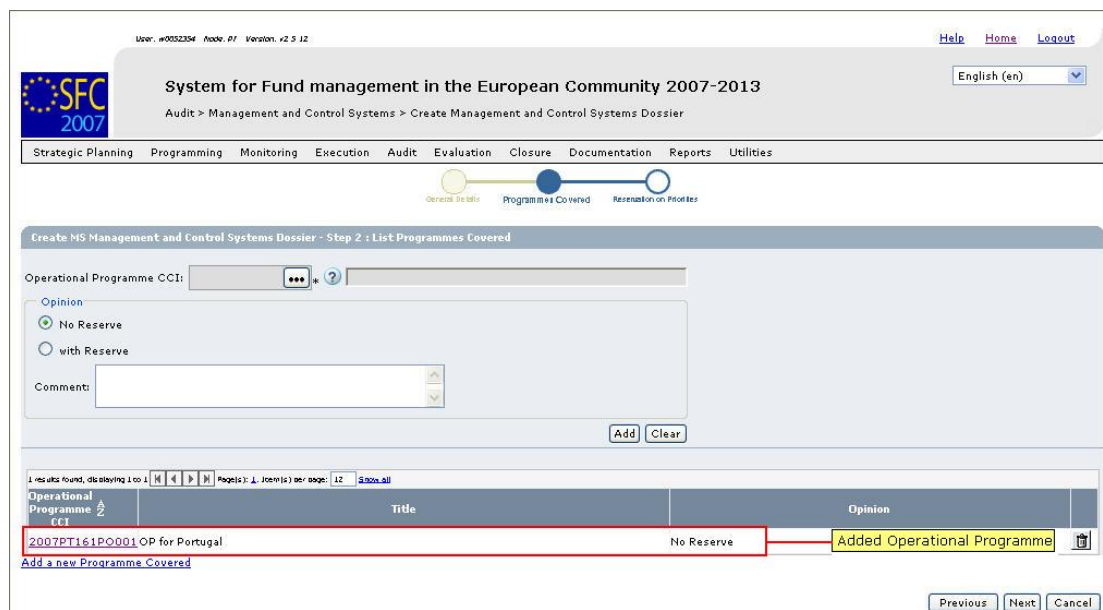
The selected CCI is copied into the *Operational Programme CCI* field.

6. Select the required *Opinion* option.

7. Enter an *Opinion Comment*, if required.


8. Click the *Add* button.

The selected Operational Programme is added in the list of Operational Programmes:



You can now:

- Click the link in the Operational Programme CCI column to update the settings.

- Click the **Rubbish bin** icon () to delete the added CCI.
- Click the link **Add a new Programme Covered** link to select an additional OP to the Management & Control Systems Dossier.

9. Click the *Next* button.

The third phase of the MCS Creation Wizard, called **Reservation on Priorities**, is displayed:



The screenshot displays the 'Reservation on Priorities' step of the MCS Creation Wizard. The page title is 'System for Fund management in the European Community 2007-2013'. The breadcrumb trail is 'Audit > Management and Control Systems > Create Management and Control Systems Dossier'. The navigation menu includes 'Strategic Planning', 'Programming', 'Monitoring', 'Execution', 'Audit', 'Evaluation', 'Closure', 'Documentation', 'Reports', and 'Utilities'. The progress bar shows three steps: 'General Details', 'Programmes Covered', and 'Reservation on Priorities'. The main form area contains a dropdown menu for 'CCI - Priority:', a text area for 'Reservation Comments:', and 'Add' and 'Clear' buttons. Below the form, there is a table with columns for 'Operational Programme', 'Priority', and 'Comments'. The table is currently empty, and a message above it says 'There were no results found.' Navigation buttons 'Previous', 'Finish', and 'Cancel' are at the bottom right.

You only have to perform selections on this screen, if both following conditions apply:

- You selected the **With Reserve** opinion option box for at least one Operational Programme covered by Management and Control Systems Dossier, AND
- The reservation you defined applies to specific Priorities (defined in the Operational Programme) and not to the Operational Programme as a whole.

If these conditions do not apply, click the **Finish** button immediately.

The following fields are available:

- [CCI – Priority](#)
- [Reservation Comments](#)

For a description of these fields, refer to section [Management and Control Systems Dossier – Reservations on Priorities](#) or click an individual field link in the list above.

10. Make the selections as required and click the *Finish* button.

The following message is briefly displayed:

Member State Management and Control Systems Dossier created.

Then the following screen is displayed:

The screenshot displays the SFC 2007 web interface. At the top, it shows the user information: 'User: #0052354 Role: P1 Version: v2.5.12'. There are links for 'Help', 'Home', and 'Logout', and a language dropdown set to 'English (en)'. The main header reads 'System for Fund management in the European Community 2007-2013' with a breadcrumb trail: 'Audit > Management and Control Systems > Edit Management and Control Systems Dossier'. A navigation bar contains the following tabs: Strategic Planning, Programming, Monitoring, Execution, Audit, Evaluation, Closure, Documentation, Reports, and Utilities. The 'General Details' section shows: Title: Management & Control Systems Dossier for PT; Version: 1; Status: Created; Date: 13/11/2007. Below this is a tabbed interface with 'General' selected. The 'General' tab contains a form with a 'Title' field (value: Management & Control Systems Dossier for PT) and a 'Comment' field (value: Title comment). At the bottom right are 'Save' and 'Cancel' buttons. At the bottom left is a 'Return to Display' link.

This screen contains a number of tabs allowing updating (editing and/or completing) the Management and Control Systems Dossier. Refer to [Updating Management and Control Systems Dossiers](#) for a detailed description.

2.4. Searching existing Management and Control Systems Dossiers

You typically search an existing Management and Control Systems Dossier, if you need to display or update its settings.

1. On the SFC2007 initial screen, select the option *Management and Control Systems* from the *Audit* drop-down menu:



The following screen is displayed:



This screen contains the following standard elements:

- **Search pane:** This pane allows defining search criteria for finding existing Management and Control Systems Dossiers.
- **List of existing Management and Control Systems Dossiers:** This pane lists default information for existing Management and Control Systems Dossiers.
- **Create a new Management and Control Systems Dossiers link**

A detailed description of the standard User Interface elements is provided in the [SFC2007 Introduction manual](#).

2. Define search criteria in the *Search* pane, if you do not immediately find the required Management and Control Systems Dossier.

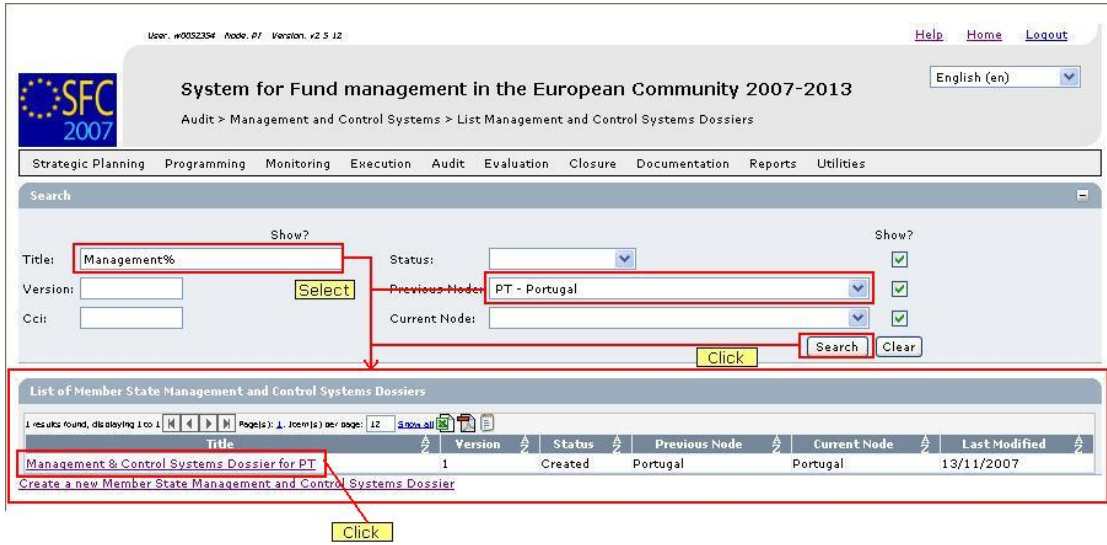
The following search fields are available:

- [Title](#)
- [Version](#)
- [CCI](#)
- [Status](#)
- [Previous Node](#)
- [Current Node](#)

For a description of these fields, refer to sections [General Management and Control Systems Dossier Data fields](#) and [Programmes Covered Data Fields](#), or click an individual field link in the list above.

3. Click the *Search* button.

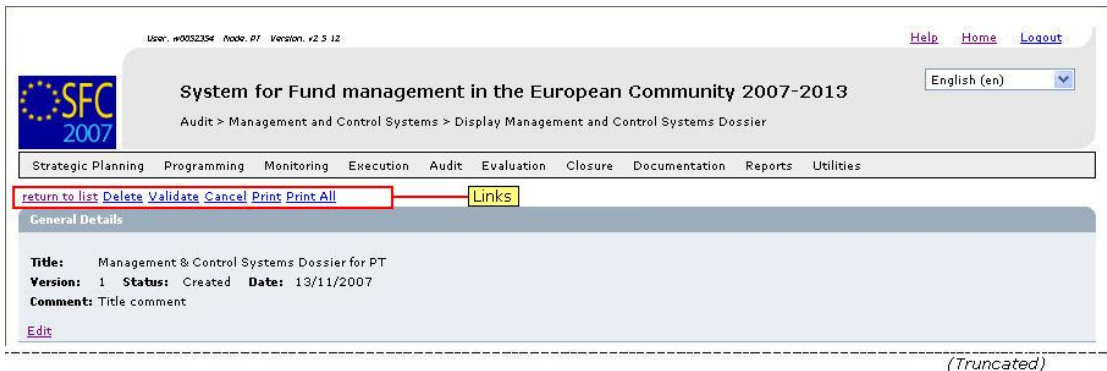
The Management and Control Systems Dossiers matching your search criteria are displayed in the *List of Management and Control Systems Dossiers*:



4. Click the link in the *Title* column matching the Management and Control Systems Dossier you want to display.

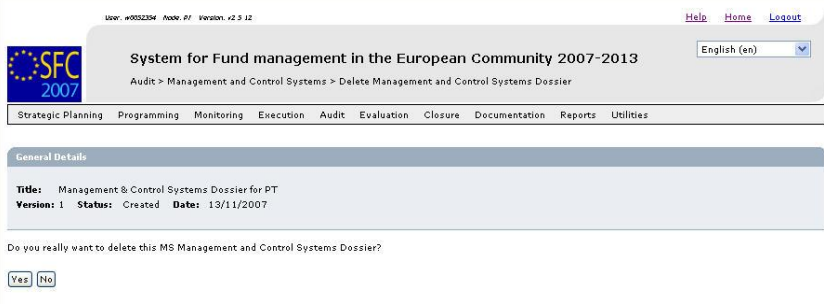
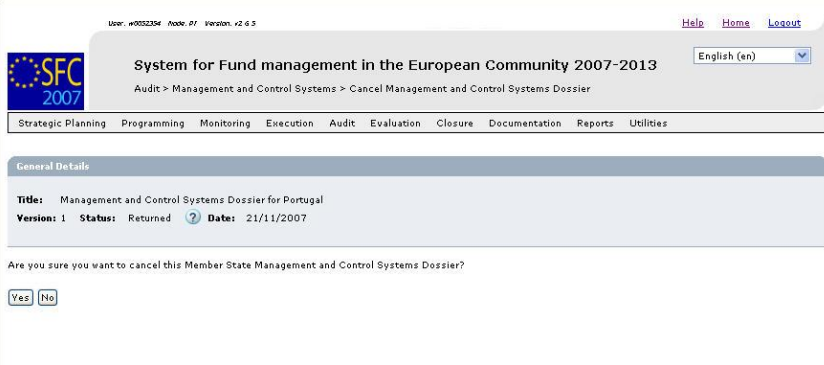
The details for the selected Management and Control Systems Dossier are shown on its *Display* screen.

5. Select a link at the top of the Display screen, if required.



Dependent on the Management and Control Systems Dossier status, the following links can be available:

Link	Description
Return to list	This link is always available. Click this link to return to the list of Management and Control Systems Dossiers matching your search criteria.
Delete	This link is available if: <ul style="list-style-type: none"> The Management and Control Systems Dossier is treated on the Member State level. The Management and Control Systems Dossier status is Created or Validated. The Management and Control Systems Dossier has never been sent to the Commission before. Click this link to delete the currently displayed Dossier version. The following dialog is displayed:

Link	Description
	 <p>Confirm or cancel the deletion.</p>
Validate	<p>This link is available if:</p> <ul style="list-style-type: none"> • The Management and Control Systems Dossier is treated on the Member State level. • The Management and Control Systems Dossier status is Created or Returned. <p>Click this link to validate the Management and Control Systems Dossier. Refer to Validating Management and Control Systems Dossiers for more information.</p>
Cancel	<p>This link is available if:</p> <ul style="list-style-type: none"> • The Management and Control Systems Dossier is treated on the Member State level. • The Dossier has already been sent to the European Commission who returned to the Member State. • The Management and Control Systems Dossier status is Created, Validated or Returned. <p>Click this link to cancel the Management and Control Systems Dossier. The following dialog is displayed:</p>  <p>Confirm or cancel the cancellation.</p> <p>You may want to cancel a Management and Control Systems Dossier, if you prefer not to continue working on a Dossier that has been returned by the Commission. Such a Dossier cannot be deleted anymore, and an Operational Programme CCI can only belong to a single active Management and Control Systems Dossier. By cancelling the Dossier, the OP's covered by the Dossier can be linked to a new Dossier.</p>
Print	<p>This link is always available.</p> <p>Click this link to generate a Summary Report about the Management and Control Systems Dossier. Refer to Appendix B.1 Print Report.</p>
Print All	<p>This link is always available.</p> <p>Click this link to generate a Detailed Report about Management and</p>

Link	Description
	Control Systems Dossiers. Refer to Appendix B.2 Print All Report .

6. Verify the settings in the *General Details* section.

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 **Status:** Created **Date:** 14/11/2007
Comment: Title comment

[Edit](#)

This section lists the basic settings for this version of the Management and Control Systems Dossier. The following fields are available:

- [Title](#)
- [Version](#)
- [Status](#)
- [Date](#)
- [Comments](#)

For a description of these fields, refer to section [General Management and Control Systems Dossier Data fields](#) or click an individual field link in the list above.

Click the *Edit* link in this section to change its settings. For a detailed description update procedure, refer to [Updating the tab General Details](#).

7. Verify the settings in the *Programmes Covered* section.

Programmes Covered

Operational Programme CCI	Title	Opinion	Accept	Not Accepted Reason
2007CB162GG808	Operational Programme REGIO [Country] (Automated Testing [CCI-1-BR])	No Reserve	<input type="checkbox"/>	
2007PT161PO001	OP for Portugal	with Reserve	<input type="checkbox"/>	

[Edit](#)

This section lists information about the Operational Covered by the Management and Control Systems Dossiers. For each listed Operational Programme, the following fields are available:

- [Operational Programme CCI](#)
- [Title](#)
- [Opinion](#)
- [Accept](#)
- [Not Accepted Reason](#)

For a description of these fields, refer to section [Programmes Covered Data fields](#) or click an individual field link in the list above.

Click the *Edit* link in this section to change its settings. For the update procedure, refer to [Updating the tab Programmes Covered](#).

8. Verify the settings in the *Reservations on Priorities* section.

Reservations on Priorities

Operational Programme CCI	Priority	Comments
2007PT161PO001	Priority 1	Reservations to Priority 1
2007PT161PO001	Priority 2	

[Edit](#)

This section lists Reservations on Priorities linked to Operational Programmes covered by the Management and Control Systems Dossier. If the complete Operational Process is subject to a Reservation, it is not necessary to define the individual Priorities on this tab.

For each listed Priority, the following fields are available:

- [Operational Programme CCI](#)
- [Priority](#)
- [Comments](#)

For a description of these fields, refer to section [Reservations on Priorities Data fields](#) or click an individual field link in the list above.

Click the **Edit** link in this section to change its settings. For the update procedure, refer to [Updating the tab Priority Reservations](#).

9. Verify the settings in the *Results on the Assessment* section.

Results on the Assessment									
Authority / Body	Type	Complete	Conclusion	Shortcomings	CCI Affected	Priority Affected	Key / Auxiliary elements	Recommendations / Corrective Measures	
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated.	2007PT161P00011		Risk of conflicting interests	Remove the risk of conflicting interests	

[Edit](#)

This section lists the Assessment Results linked to the Management and Control Systems Dossier.

For each listed Assessment, the following fields are available:

- [Authority / Body](#)
- [Type](#)
- [Complete](#)
- [Conclusion](#)
- [Shortcomings](#)
- [CCI Affected](#)
- [Priority Affected](#)
- [Key / Auxiliary Elements](#)
- [Recommendations / Corrective Measures](#)

For a description of these fields, refer to section [Results on the Assessment Result Data fields](#) or click an individual field link in the list above.

Click the **Edit** link in this section to change its settings. For the update procedure, refer to [Updating the tab Assessment Results](#).

10. Verify the settings in the section *Associated Documents*.

Title	Type	Language	Attachments	Document Date	Sent Date
Audit Report on compliance assessment for PT	Audit Report on compliance assessment	Portuguese	↓	14/11/2007	14/11/2007
Declaration of Competence for PT	Declaration of Competence and Operational Independance	Portuguese	↓	14/11/2007	14/11/2007
Description of the Management & Control Systems	MS Management and Control Systems Description	Portuguese	↓	14/11/2007	14/11/2007
Opinion about Management and Control Systems	MS Management and Control Systems Opinion	Portuguese	↓	14/11/2007	14/11/2007
prepareDocument - pt	Snapshot of data before send	Portuguese	↓	14/11/2007	14/11/2007
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	↓	14/11/2007	14/11/2007
Admittance Document	Admissibility Letter	English	↓	14/11/2007	14/11/2007
EC Observations	EC Observations	English	↓	14/11/2007	14/11/2007

[Edit](#)

Documents attached manually by Member State users	■
Documents attached manually by European Commission users	■
Documents generated and attached by the system	■

This section lists information on the Documents and attachments defined for the Management and Control Systems Dossier. Click the *Edit* link in this section to change the settings. For a detailed description of the fields and the update procedure, refer to the section *Documents tab* in the [SFC2007 Introduction manual](#).

11. Verify the settings in the *Officials in Charge* section.

Name	Phone	Fax	Email	Valid From	Until
Pinto Antonio	351 2 223 98 76	351 2 223 98 77	sfc2007_tra1@yahoo.com	01/08/2007	31/08/2011
Ana Lopes	351 2 123 45 67	351 2 123 45 68	sfc2007_tra2@yahoo.com	01/08/2007	31/08/2011

[Edit](#)

This section lists information on the Officials in Charge of the Management and Control Systems Dossier. Click the *Edit* link in this section to change the settings. For a detailed description of the fields and the update procedure, refer to the section *Officials in Charge* in the [SFC2007 Introduction manual](#).

12. Verify the settings in the *Last Validation Results* section by clicking the *Expand* icon (+).

The following screen appears:

Date	Severity	Message
14/11/2007	Warning	The Management and Control Systems Dossier should have at least one valid official in charge of the member state.
14/11/2007	Info	Object has been validated.

This section lists error, warning and information messages about the last validation attempt. At least all errors must be corrected before the Management and Control Systems Dossier can be validated and sent to the European Commission. For a detailed description of the Validation process, refer to [Validating Management and Control Systems Dossiers](#).

13. Expand the *History* section by clicking the *Expand* icon (+).

The following screen appears:

Status	Comment	By Level	Date	User
Validated		Portugal	08/08/2007 14:25	w0052354
Returned	not adequately motivated	Commission	08/08/2007 14:16	w0050139
Sent	After Re-Open	Commission	08/08/2007 14:15	w0050139
Ready for Decision		Commission	08/08/2007 13:17	w0050139
Admissible		Commission	08/08/2007 13:11	w0050139
Sent		Portugal	08/08/2007 12:04	w0052354
Validated		Portugal	08/08/2007 12:03	w0052354
Returned	not adequately motivated	Commission	08/08/2007 10:58	w0050139
Sent		Portugal	08/08/2007 10:22	w0052354
Validated		Portugal	08/08/2007 10:21	w0052354
Returned	Not adequately motivated	Commission	08/08/2007 10:11	w0050139
Sent		Portugal	07/08/2007 17:07	w0052354
Validated		Portugal	07/08/2007 15:09	w0052354
Created		Portugal	07/08/2007 15:06	w0052354
Created		Portugal	07/08/2007 14:40	w0052354
Created		Portugal	07/08/2007 14:40	w0052354

Comments entered by the Commission:	■
Comments generated by the system:	■

This section lists, in inversed chronological order, all "events" occurred during the life of this Management and Control Systems Dossier. All entries are read-only and generated by the system. Comments have been defined by the European Commission or by the system.

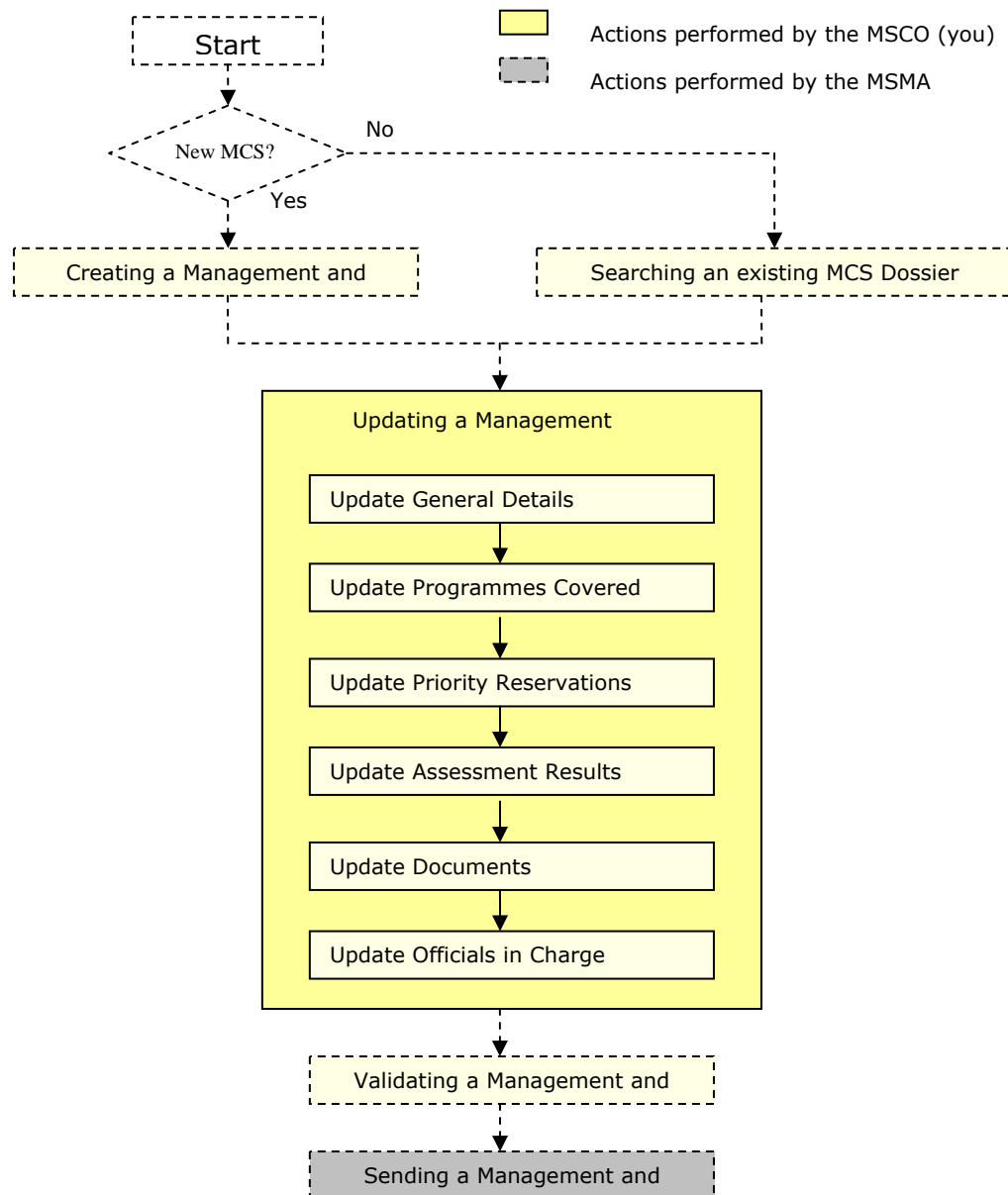
The following fields are displayed:

Field	Description
Status	This field displays the status of the Major Project at the moment of the event.
Comment	This field contains a comment generated by the system or entered by the ECOA for some standard "events".
By level	This field contains the name of the Level (node) where the Management and Control Systems Dossier resided at the moment of the event.
Date	This field contains the timestamp (date and time) of the event.
User	This field contains the username of the person initiating the event.

2.5. Updating Management and Control Systems Dossiers

2.5.1. *Workflow Overview*

The following graphic shows the Workflow for updating a Management and Control Systems (MCS) Dossier. It is a subset from the general Management and Control Systems Dossier Workflow shown in the section [Managing Management and Control Systems Dossiers: Workflow overview](#).



These actions are described in separate procedures:

- [Updating the tab *General Details*](#)
- [Updating the tab *Programmes Covered*](#)
- [Updating the tab *Priority Reservations*](#)
- [Updating the tab *Assessment Results*](#)

The update procedure for the *Documents* and *Officials in Charge* tabs are explained in the [SFC2007 Introduction manual](#).

2.5.2. [Updating the tab *General Details*](#)

The tab *General Details* on the *Management and Control Systems Dossier Update* screen lists basic information about the Management and Control Systems Dossier, such as the Title and associated Comment.

1. **Browse to the tab *General* on the *Management and Control Systems Dossier Update* screen.**

Refer to one of the following procedures for instructions:

- [Creating Management and Control Systems Dossiers](#)
- [Searching existing Management and Control Systems Dossiers](#)

The screen looks as follows:

The screenshot displays the SFC2007 web application interface. At the top, it shows the user 'a0052354', role 'PT', and version 'v2.5.12'. The main header identifies the system as 'System for Fund management in the European Community 2007-2013' and the current page as 'Audit > Management and Control Systems > Edit Management and Control Systems Dossier'. A navigation menu includes 'Strategic Planning', 'Programming', 'Monitoring', 'Execution', 'Audit', 'Evaluation', 'Closure', 'Documentation', 'Reports', and 'Utilities'. The 'General Details' section shows the following information: Title: Management & Control Systems Dossier for PT; Version: 1; Status: Created; Date: 13/11/2007. Below this, there are tabs for 'General', 'Programmes Covered', 'Priority Reservations', 'Assessment Results', 'Documents', and 'In Charge'. The 'General' tab is active, showing a form with a 'Title' field containing 'Management & Control Systems Dossier for PT' and a 'Comment' field with the placeholder 'Title comment'. 'Save' and 'Cancel' buttons are located at the bottom right of the form area. A 'Return to Display' link is positioned at the bottom left of the page.

2. **Verify the basic information about the Management and Control Systems Dossier in the information pane at the top of the screen.**

The following fields are available:

- [Title](#)
- [Version](#)
- [Status](#)
- [Date](#)

For a description of these fields, refer to section [General Management and Control Systems Dossier Data Fields](#) or click an individual field link in the list above.

3. Update the values in the *General* tab as required.

The following fields are available:

- [Title](#)
- [Comment](#)

For a description of these fields, refer to section [General Management and Control Systems Dossier Data Fields](#) or click an individual field link in the list above.

4. Perform the required changes and click the *Save* button.

This concludes the procedure *Updating the tab General Details*.

You can now:

- [Update the tab *Programmes Covered*](#) (logical next step)
- Update another tab or subtab on the Management and Control Systems Dossier Update screen. Refer to the [Action Overview](#) in the section *Updating Management and Control Systems Dossiers*.

2.5.3. *Updating the tab Programmes Covered*

The tab *Programmes Covered* on the *Management and Control Systems Dossiers Update* screen lists information about the Operational Programmes linked to this Management and Control Systems Dossier.

1. Browse to the tab *Programmes Covered* on the *Update Management and Control Systems Dossier* screen.

Refer to one of following procedures for instructions:

- [Creating Management and Control Systems Dossiers](#)
- [Searching existing Management and Control Systems Dossiers](#)

The screen looks as follows:

User: n0052354 Role: PT Version: v2.5.12 Help Home Logout

System for Fund management in the European Community 2007-2013 English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 Status: Created Date: 13/11/2007

General Programmes Covered Priority Reservations Assessment Results Documents In Charge

Programmes Covered

1 results found, displaying 1 to 1 | Page(s): 1, 1000(s) per page: 12 Show all

Operational Programme	Title	Opinion
2007PT161P0001	OP for Portugal	No Reserve

[Add a new Programme Covered](#)

[Return to Display](#)

2. **Verify the basic information about the Management and Control Systems Dossier in the information pane at the top of the screen.**

The following fields are available:

- [Title](#)
- [Version](#)
- [Status](#)
- [Date](#)

For a description of these fields, refer to section [General Management and Control Systems Dossier Data Fields](#) or click an individual field link in the list above.

3. **Verify the settings for the available Programmes Covered.**

The following fields are available for each Operational Programme covered by the Management and Control Systems Dossier:

- [Operational Programme CCI](#)
- [Title](#)
- [Opinion](#)

For a description of these fields, refer to section [Programmes Covered Data Fields](#) or click an individual field link in the list above.

4. **Click the link in the Operational Programme CCI field to copy the values in the edit fields.**

The following screen is displayed:

The screenshot displays the 'System for Fund management in the European Community 2007-2013' interface. The top navigation bar includes 'Strategic Planning', 'Programming', 'Monitoring', 'Execution', 'Audit', 'Evaluation', 'Closure', 'Documentation', 'Reports', and 'Utilities'. The main content area is titled 'General Details' and shows the following information:

- Title:** Management & Control Systems Dossier for PT
- Version:** 1
- Status:** Created
- Date:** 13/11/2007

Below this, there are tabs for 'General', 'Programmes Covered', 'Priority Reservations', 'Assessment Results', 'Documents', and 'In Charge'. The 'Programmes Covered' tab is active, showing a table with one entry:

Operational Programme CCI	Opinion
2007PT161PO001 OP for Portugal	No Reserve

The 'Operational Programme CCI' field is highlighted with a red box. Below the table, there is a 'Click' button with an arrow pointing to the '2007PT161PO001' value in the table. The 'Opinion' field is also highlighted with a red box, showing 'No Reserve' selected. The 'Update' and 'Clear' buttons are visible below the form.

5. **Perform the required changes and click the Update button.**

6. **Click the link Add a new Programme Covered to add an additional Programme to the Management and Control Systems Dossier.**

The following screen is displayed:

User: n0552354 Role: PF Version: v2.5.12 Help Home Logout

System for Fund management in the European Community 2007-2013
English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 Status: Created Date: 13/11/2007

General Programmes Covered Priority Reservations Assessment Results Documents In Charge

Operational Programme CCI: [text] [dropdown] [help]

Opinion
 No Reserve
 with Reserve

Comment: [text]

Add Clear

Click

1 results found, displaying 1 to 1 of 1 Page(s): 1, Item(s) per page: 12 Show all

Operational Programme CCI	Title	Opinion
2007PT161PO001	OP for Portugal	No Reserve

Add a new Programme Covered

Return to Display

7. Make the required selections for the additional Operational Programme covered and click the *Add* button.

This concludes the procedure *Updating the tab Programmes Covered*.

You can now:

- [Update the tab *Priority Reservation*](#) (logical next step)
- Update another tab on the Management and Control Systems Dossier Update screen. Refer to the [Action Overview](#) in the section *Updating Management and Control Systems Dossiers*.

2.5.4. *Updating the tab Priority Reservations*

The tab *Priority Reservations* on the *Management and Control Systems Dossiers Update* screen lists information about the Reservations defined for specific Priorities defined for (one of) the Operational Programmes covered by this Management and Control Systems Dossier.

1. Browse to the tab *Priority Reservations* on the *Update Management and Control Systems Dossier* screen.

Refer to one of the following procedures for instructions:

- [Creating Management and Control Systems Dossiers](#)
- [Searching existing Management and Control Systems Dossiers](#)

The screen looks as follows:

User: #005235# Role: P7 Version: v2.5.12 Help Home Logout

System for Fund management in the European Community 2007-2013
English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 Status: Created Date: 14/11/2007

General Programmes Covered **Priority Reservations** Assessment Results Documents In Charge

Reservation on Priorities

2 results found, displaying 1 to 2 Page(s): 1 (results) per page: 12 Show all

Operational Programme CCI	Priority	Comments
2007PT161PO001 1	Priority 1	Reservations to Priority 1
2007PT161PO001 2	Priority 2	

[Add a new Priority Reservation](#)

[Return to Display](#)

2. Verify the basic information about the Management and Control Systems Dossier in the information pane at the top of the screen.

The following fields are available:

- [Title](#)
- [Version](#)
- [Status](#)
- [Date](#)


For a description of these fields, refer to section [General Management and Control Systems Dossier Data Fields](#) or click an individual field link in the list above.

3. Verify the settings for the listed *Priority Reservations*.

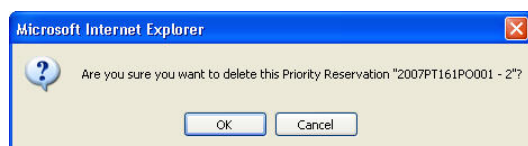
The following fields are available for each listed Priority Reservation:

- [Operational Programme CCI](#)
- [Priority](#)
- [Comment](#)

For a description of these fields, refer to section [Reservations on Priorities Data Fields](#) or click an individual field link in the list above.

4. Delete an existing *Priority Reservation* entry by clicking the *Rubbish bin* icon () next to it, if required.

The following dialog is displayed:



Click the **OK** button to confirm the deletion.

- Click the link in the *Operational Programme CCI* field to copy the values in the edit fields.

The following screen is displayed:

User: #005235# Mode: PT Version: v2.5.12 Help Home Logout

System for Fund management in the European Community 2007-2013 English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 Status: Created Date: 14/11/2007

General Programmes Covered **Priority Reservations** Assessment Results Documents In Charge

Reservation on Priorities

CCI - Priority: 2007PT161PO001 - 1 Priority 1 *

Reservation Comments: Reservations to Priority 1

Update Clear

2 results found, displaying 1 to 2 | Page(s): 1, 1000(1) per page: 12 Show all

Operational Programme CCI	Priority	Comments
2007PT161PO001	Priority 1	Reservations to Priority 1
2007PT161PO0012	Priority 2	

[Add a new Priority Reservation](#)

[Return to Display](#)

- Perform the required changes and click the *Update* button.
- Click the link *Add a new Priority Reservation* to add an additional Priority Reservation to the Management and Control Systems Dossier.

The following screen is displayed:

User: #005235# Mode: PT Version: v2.5.12 Help Home Logout

System for Fund management in the European Community 2007-2013 English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 Status: Created Date: 14/11/2007

General Programmes Covered **Priority Reservations** Assessment Results Documents In Charge

Reservation on Priorities

CCI - Priority: *

Reservation Comments:

Add Clear

2 results found, displaying 1 to 2 | Page(s): 1, 1000(1) per page: 12 Show all

Operational Programme CCI	Priority	Comments
2007PT161PO001	Priority 1	Reservations to Priority 1
2007PT161PO0012	Priority 2	

[Add a new Priority Reservation](#)

[Return to Display](#)

8. Make the required selections for the additional Priority definition and click the *Add* button.

This concludes the procedure *Updating the tab Priority Reervations*.

You can now:

- [Update the tab *Assessment Results*](#) (logical next step)
- Update another tab on the Management and Control Systems Dossier Update screen. Refer to the [Action Overview](#) in Assessment results the section *Updating Management and Control Systems Dossiers*.

2.5.5. *Updating the tab Assessment Results*

The tab *Assessment Results* on the *Management and Control Systems Dossier Update* screen provides an overview of the Assessment results defined for the Management and Control Systems Dossier.

1. Browse to the tab *Assessment Result* on the *Update Management and Control Systems Dossier* screen.

Refer to one of the following procedures for instructions:

- [Creating Management and Control Systems Dossiers](#)
- [Searching existing Management and Control Systems Dossiers](#)

The screen looks as follows:

The screenshot shows the SFC2007 interface. At the top, there is a header with the SFC 2007 logo and the text 'System for Fund management in the European Community 2007-2013'. Below this is a navigation menu with tabs: Strategic Planning, Programming, Monitoring, Execution, Audit, Evaluation, Closure, Documentation, Reports, Utilities. The main content area is titled 'General Details' and shows 'Title: Management & Control Systems Dossier for PT', 'Version: 1', 'Status: Created', and 'Date: 14/11/2007'. Below this is a sub-menu with tabs: General, Programmes Covered, Priority Reservations, **Assessment Results**, Documents, In Charge. The 'Assessment Results' tab is active, showing 'Results on the Assessment' with 2 results found. A table displays the following data:

Authority / Body	Type	Complete	Conclusion	Shortcomings	CCI Affected	Priority Affected	Key / Auxiliary elements	Recommendations / Corrective Measures
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated	2007CB162GG847		Risk of conflicting interests	Remove the risk of conflicting interests
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated.	2007PT161PO0011		Risk of conflicting interests	Remove the risk of conflicting interests

2. Verify the basic information about the Management and Control Systems Dossier in the information pane at the top of the screen.

The following fields are available:

- [Title](#)
- [Version](#)
- [Status](#)
- [Date](#)


For a description of these fields, refer to section [General Management and Control Systems Dossier Data Fields](#) or click an individual field link in the list above.

3. Verify the settings for the listed *Assessment Results*.

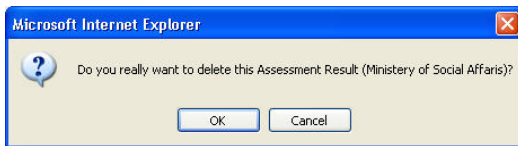
The following fields are available for each listed Priority Reservation:

- [Authority / Body](#)
- [Type](#)
- [Complete](#)
- [Shortcomings](#)
- [CCI affected](#)
- [Priority affected](#)
- [Key / Auxiliary Elements](#)
- [Recommendations / Corrective Action](#)

For a description of these fields, refer to section [Assessment Results Data Fields](#) LINK or click an individual field link in the list above.

4. Delete an existing Assessment Result entry by clicking the *Rubbish bin* icon () next to it, if required.

The following dialog is displayed:



Click the **OK** button to confirm the deletion.

5. Click the link in the *Authority / Body* field to copy the values in the edit fields.

The following screen is displayed:

User: #005239# / Role: PT / Version: v2.5.12 [Help](#) [Home](#) [Logout](#)

SFC 2007 **System for Fund management in the European Community 2007-2013** English (en)

Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
Version: 1 **Status:** Created **Date:** 14/11/2007

General Programmes Covered Priority Reservations **Assessment Results** Documents In Charge

Results on the Assessment

Authority / Body: *

Type: * Conclusion: *

Completeness and Accuracy of Description is OK

Shortcomings:

CCI Affected: Priority Axis Affected:

Key / Auxiliary elements:

Recommendations / Corrective Measures:

[Click](#)

2 results found, displaying 1 to 2 | Pages: 1, (over) 2 per page: 12 [Show all](#)

Authority / Body	Type	Complete	Conclusion	Shortcomings	CCI Affected	Priority Affected	Key / Auxiliary elements	Recommendations / Corrective Measures	
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated	2007CB162GG847		Risk of conflicting interests	Remove the risk of conflicting interests	<input type="button" value="X"/>
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated.	2007PT161PO0011		Risk of conflicting interests	Remove the risk of conflicting interests	<input type="button" value="X"/>

[Add a new Assessment Result](#)

[Return to Display](#)

6. Perform the required changes and click the *Update* button.
7. Click the link *Add a new Priority Reservation* to add an additional Priority Reservation to the Management and Control Systems Dossier.

The following screen is displayed:

System for Fund management in the European Community 2007-2013
 Audit > Management and Control Systems > Edit Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
 Version: 1 Status: Created Date: 14/11/2007

General Programmes Covered Priority Reservations **Assessment Results** Documents In Charge

Results on the Assessment

Authority / Body: *
 Type: * Conclusion: *
 Completeness and Accuracy of Description is OK
 Shortcomings:
 CCI Affected: Priority Axis Affected:
 Key / Auxillary elements:
 Recommendations / Corrective Measures:
 Add Clear

2 results found, displaying 1 to 2 | Page(s): 1, 2 (over 1) per page: 12 Show all

Authority / Body	Type	Complete	Conclusion	Shortcomings	CCI Affected	Priority Affected	Key / Auxillary elements	Recommendations / Corrective Measures
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated	2007CB162GG847		Risk of conflicting interests	Remove the risk of conflicting interests
Ministry of Social Affairs	Audit Authority	<input checked="" type="checkbox"/>	Qualified Opinion	Role of Beneficiary and Paying Agency not sufficiently separated.	2007PT161PO0011		Risk of conflicting interests	Remove the risk of conflicting interests

Add a new Assessment Result

Return to Display

8. Make the required selections for the additional Assessment Result definition and click the *Add* button.

You can now:

- Update the tabs common to most SFC2007 Objects: *Documents* and *Officials in Charge*. Refer to the *SFC2007 Introduction Manual* for a detailed description.
- Update another tab on the Management and Control Systems Dossier Update screen. Refer to the [Action Overview](#) in Assessment, results the section *Updating Management and Control Systems Dossiers*.

The next logical step to do is to [validate the Management and Control Systems Dossier](#).

2.6. Validating Management and Control Systems Dossiers

When you validate a Management and Control Systems (MCS) Dossier, the system will check the validity and completeness of the information related to a version of the Management and Control Systems Dossier. Refer to [Appendix A](#) for a detailed list of the validation rules. You will logically perform a validation of your Management and Control Systems Dossier AFTER having [created](#) and [updated](#) it and BEFORE [sending](#) it to the European Commission for approval.

Validating a Management and Control Systems Dossier is only possible, if it has the status *Created* or *Returned* (by the Commission).

Follow the procedure detailed in this section to validate a Management and Control Systems Dossier.

1. Search the Management and Control Systems Dossier to be validated.

Refer to [Searching existing Management and Control Systems Dossiers](#) for a detailed description.

2. Click the *Validate* link, once you have accessed the Management and Control Systems Dossier Display screen.

The Validation Results are displayed:

Date	Severity	Message
10/07/2007	Error	Missing community amount for priority 2
10/07/2007	Error	Sum of community contributions by years (70000) is not equals to the sum of contribution (1000) for fund 'ERDF'
10/07/2007	Error	Missing audit authority
10/07/2007	Error	Missing certifying authority
10/07/2007	Error	Total amount of priority themes (1533) does not equal total amount for funds (70000)
10/07/2007	Error	Total amount of territories themes (800) does not equal total amount for funds (70000)
10/07/2007	Error	Total amount of financing forms (500) does not equal total amount for funds (70000)
10/07/2007	Error	Contribution rate (4.7600) must be >= 20% for priority "1"
10/07/2007	Error	Contribution rate (0) must be >= 20% for priority "2"
10/07/2007	Error	The total of Community contribution in the financial plan by year (70000) is different than the total of Community contribution in the financial plan by Priority for the Objective "Convergence" (1000)!
10/07/2007	Warning	This OP is not found in the relevant NSRF !
10/07/2007	Warning	SFC2007 doesn't check criteria 2, 5 and 6 of Annex III. Please check these criteria manually.
10/07/2007	Warning	The NSRF of that country has not been sent !
10/07/2007	Info	Operational Programme could not be validated. Please correct errors.

The table lists messages in three severity levels:

- **Error:** Errors are blocking shortcomings to the Management and Control Systems Dossier. The Management and Control Systems Dossier will not get the **Validated** status and you will not be able to send it to the European Commission, as long as errors persist.
- **Warning:** Warnings are non-blocking shortcomings to the Management and Control Systems Dossier. The Major Project will get the **Validated** status and you will be able to send the Major Project to the European Commission, while warnings persist.

- **Info:** Informational messages provide a conclusion of the Error and Warning messages, such as the info message in the screen above:

Object could not be validated. Please correct errors.

For a detailed overview of the Validation Rules, refer to [Appendix A: Validation Rules for Management and Control Systems Dossiers](#).

3. Analyse the Validation results and correct the errors (and/or warnings).

Refer to the procedures in the chapter [Updating Management and Control Systems Dossiers](#).

4. Once you think you have corrected all errors (required) and all warnings (preferably), try validating the Management and Control Systems Dossier again.

5. Repeat the steps above, until all errors (and if possible warnings) have been eliminated.

The Validation report will look as follows:

System for Fund management in the European Community 2007-2013
 Audit > Management and Control Systems > Validate Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

General Details

Title: Management & Control Systems Dossier for PT
 Version: 1 Status: Validated Date: 14/11/2007 Status has been updated

Validation Results

Date	Severity	Message
14/11/2007	Warning	The Management and Control Systems Dossier should have at least one valid official in charge of the member state.
14/11/2007	Info	Object has been validated.

Return to Display No errors persist

6. You can now inform your Member State Managing Authority or Member State Authority that the Management and Control Systems Dossier is ready to be sent to the European Commission for approval.

Refer to [Sending Management and Control Systems Dossiers to the European Commission](#).

2.7. Sending Management and Control Systems Dossiers to the European Commission (by the MSMA or MSA)

The Member State Managing Authority is responsible for sending a [validated](#) Management and Control Systems Dossier to the Commission. You can verify the evolution in the Management and Control Systems Dossier display screen:

System for Fund management in the European Community 2007-2013
 Audit > Management and Control Systems > Display Management and Control Systems Dossier

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Documentation Reports Utilities

return to list Print Print All The available links do not allow any update or status change

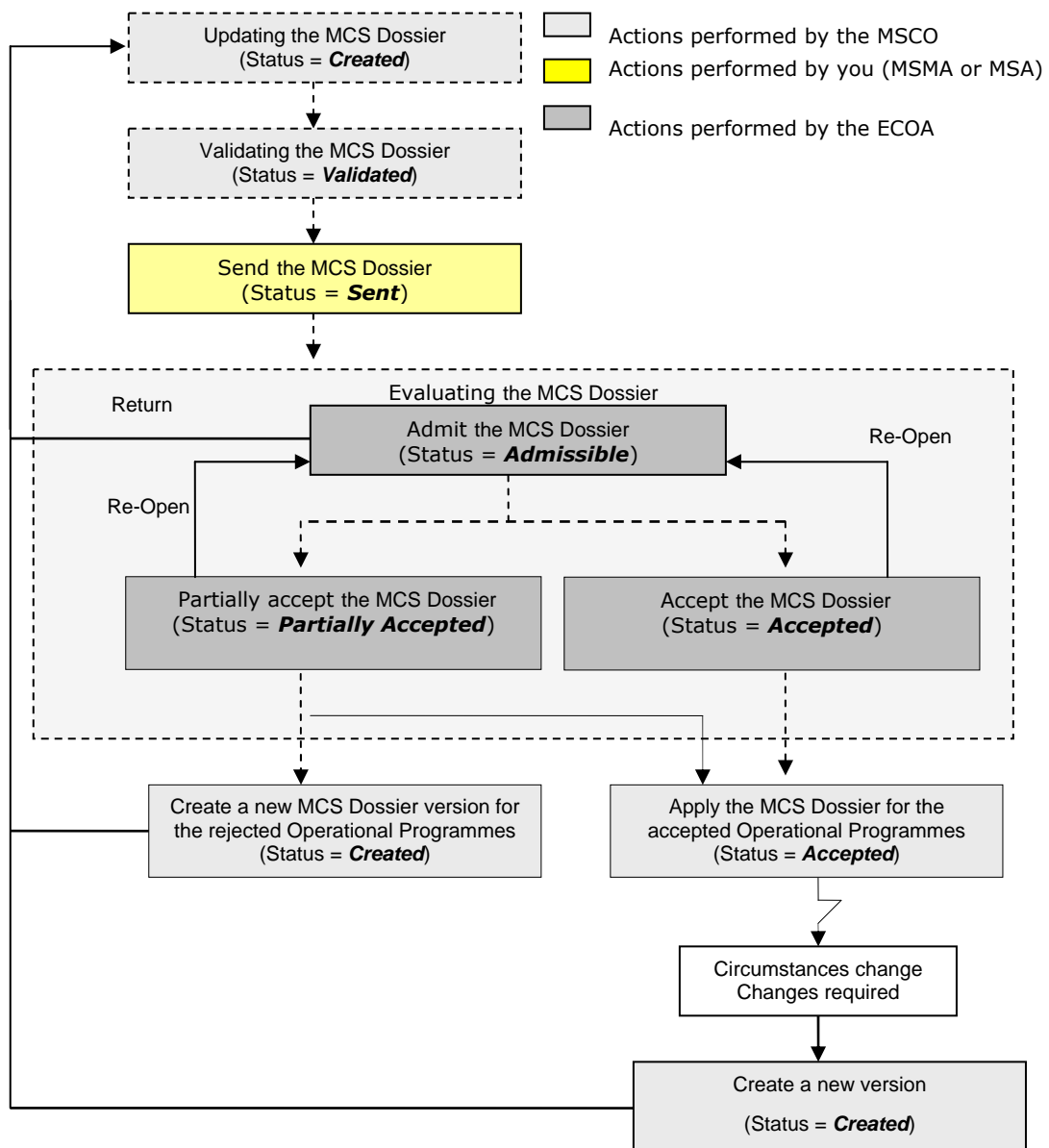
General Details

Title: Management and Control Systems Dossier for Portugal
 Version: 1 Status: Sent Date: 20/11/2007
 Comment: creation comments

When the Management and Control Systems Dossier arrives at the European Commission, the European Commission Operational Agent (ECO) starts evaluating it. Refer to the section [Evaluating submitted \(Sent\) Management and Control Systems Dossiers](#) (by the Commission).

2.8. Evaluating submitted (sent) Management and Control Systems Dossiers (by the ECOA)

The European Commission Operating Agent (ECO) is responsible for evaluating the Management and Control Systems Dossiers sent to the Commission by the Member State Managing Authority (MSMA) or the Member State Authority (MSA). The following diagramme provides an overview of the evaluating actions.



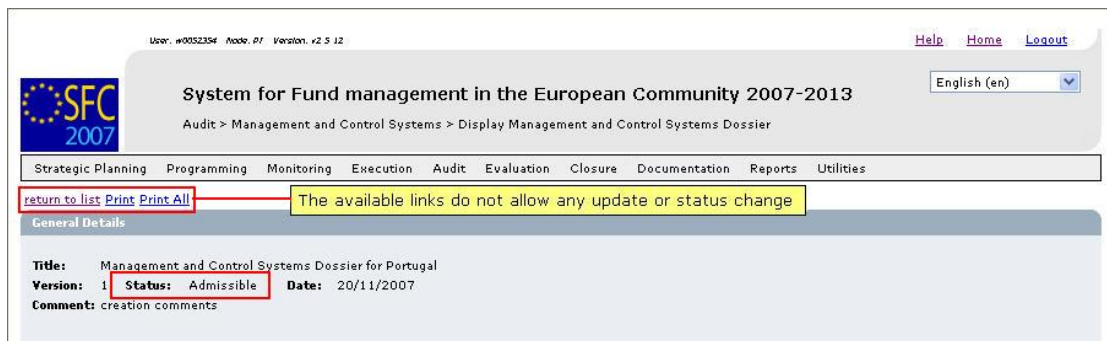
Explanation:

- **Admitting the Management and Control Systems Dossier**

Once the MSMA or MSA has sent your validated Management and Control Systems Dossier to the European Commission, the responsible ECOA is notified of this fact. The ECOA then determines if it can be admitted in its current form.

If the Management and Control Systems Dossier cannot be admitted in its current form, the ECOA returns it to you (the MSCO) for correction.

If the Management and Control Systems Dossier can be admitted, the ECOA sets its status to **Admissible**. You can verify the evolution in the Management and Control Systems Dossier Display Screen:



Note that the available links do not allow you to update or change the Management and Control Systems Dossier in any way at this stage.

- **Accepting a Management and Control Systems Dossier**

After the ECOA admitted your Management and Control Systems Dossier, he determines if it can be accepted.

There are three possibilities:

- The ECOA **does not accept** the Management and Control Systems Dossier. He will return it to you (the MSCO) for correction.

[Update](#) and [validate](#) the settings before asking the MSMA or MSA to [send](#) the Dossier to the Commission again.

- The ECOA **completely accepts** the Management and Control Systems Dossier, meaning that he accepts it for all Operational Programmes it covers. As a result, the status is set to **Accepted**.

The **Accepted** status is final: once a Management and Control Systems Dossier has reached this status, its settings cannot be changed anymore. If they need updating because of changed circumstances, you (the MSCO) must [create a new version](#) of the Management and Control Systems Dossier and [update](#) the settings in that new version.

- The ECOA **partially accepts** the Management and Control Systems Dossier. This is only possible, if the Management and Control Systems Dossier covers more than one Operational Programme. In such a case, the ECOA can accept the Management and Control Systems Dossier for some but not all covered Operational Programmes. The ECOA indicates for which covered Operational Programmes he accepts the MCS Dossier, and he also provides the reason for rejection for each rejected Operational Programme. As a result, the Management and Control Systems Dossier status is set to **Partially Accepted**.

The **Partially Accepted** status is final: once a Management and Control Systems Dossier has reached this status, its settings cannot be changed anymore. You (the MSCO) must [create a new version of](#) the Management and Control Systems Dossier and [update](#) the settings in that new version, in order to remove the shortcomings for the rejected Operational Programmes

2.9. Correcting returned Management and Control Systems Dossiers

If the responsible European Commission Operating Agent (ECO) determines that a sent MCS Dossier cannot be accepted in its current form, he will return it to the Member State for correction.

The officials listed in the **Officials in Charge** list will be notified of this event via an e-mail message in the following format:

From: "sfc2007-info@ec.europa.eu" <sfc2007-info@ec.europa.eu>
 To: msma@portugal.pt
 Sent: Tuesday, June 26, 2007 1:19:39 PM
 Subject: SFC2007 Event Notification

Object: Management and Control Systems Dossier "Management and Control Systems Dossier for Portugal" Version 1

Event: Returned

By: Commission

To: Portugal

Next Action: The Member State is expected to correct this Dossier.

To review this Management and Control Systems Dossier click [here](#)

Perform the following procedure to correct the Management and Control Systems Dossier.

1. Search returned Management and Control Systems Dossier.

Click the **here** link in the notification e-mail message above or refer to [Searching existing Management and Control Systems Dossiers](#).

2. In the Management and Control Systems Dossier Display screen, browse to the **Associated Documents** section:

Title	Type	Language	Attachments	Document Date	Sent Date
Audit Report on compliance assessment	Audit Report on compliance assessment	Portuguese	1	16/11/2007	16/11/2007
Description of Control system	MS Management and Control Systems Description	Portuguese	1	16/11/2007	16/11/2007
Opinion doc	MS Management and Control Systems Opinion	Portuguese	1	16/11/2007	16/11/2007
prepareDocument - pt	Snapshot of data before send	Portuguese	1	16/11/2007	16/11/2007
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	1	16/11/2007	16/11/2007
Audit Report for Portugal	Audit Report on compliance assessment	English	1	20/11/2007	20/11/2007

If the ECOA attached a document to your Management and Control Systems Dossier proposal motivating his decision to return it to you for correction, this document will be listed in this section (probably on the last line).

3. Click the link in the **Attachments** column to open the document and follow the guidelines to correct the Management and Control Systems Dossier.

- In the Management and Control Systems Dossier Display screen, browse to the *History* section as well:**

Status	Comment	By Level	Date	User
Returned	not sufficiently documented	Commission	20/11/2007 16:34	w0050139
Admissible		Commission	20/11/2007 16:28	w0050139
Sent		Portugal	20/11/2007 16:28	w0052354
Validated		Portugal	20/11/2007 16:27	w0052354
Created		Portugal	20/11/2007 16:22	w0052354

- Look for the line marking the return of your Management and Control Systems Dossier (probably the first line) and consult the *Comment* field.**

In this field, the ECOA may have briefly explained why he returned your Management and Control Systems Dossier to you.

- Perform the required changes to the Management and Control Systems Dossier.**

Refer to the procedures described in section [Updating Management and Control Systems Dossiers](#).

- Validate the revised Management and Control Systems Dossier.**

Refer to the procedures in the section [Validating Management and Control Systems Dossiers](#).

- Ask the Member State Managing Authority (MSMA) or Member State Authority (MSA) to send the revised and validated Management and Control Systems Dossier to the Commission again.**

Refer to the procedure described in section [Sending Management and Control Systems Dossiers \(to the Commission\)](#).

You will now have to wait until the European Commission evaluates your revised Management and Control Systems Dossier and notifies you of their decision.

The Commission procedures are not explained in detail in this manual. For a short description, refer to [Evaluating validated Management and Control Systems Dossiers \(by the Commission\)](#).

2.10. Creating a new version of a Management and Control Systems Dossier

If you need to change the settings of an approved or fully rejected Management and Control Systems Dossier, you must create a new version of that Management and Control Systems Dossier.

Perform the following procedure to create a new version of a Management and Control Systems Dossier:

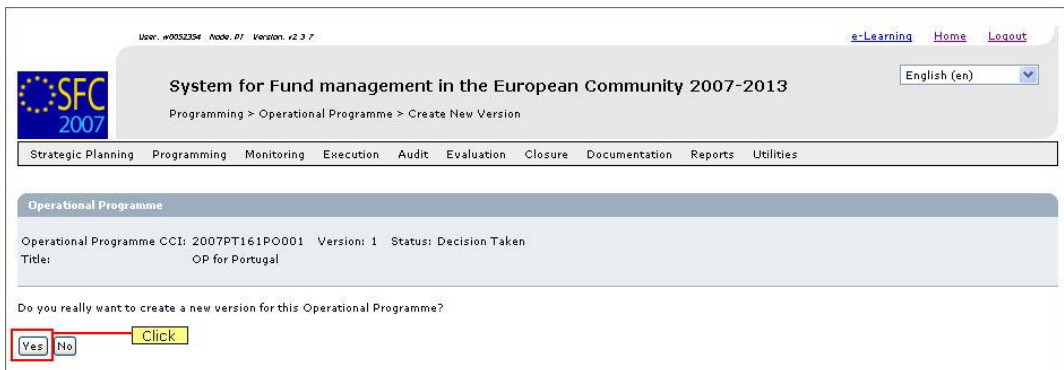
- Search the Management and Control Systems Dossier for which you need to create a new version.**

Refer to [Searching existing Management and Control Systems Dossiers](#).

- In the Management and Control Systems Dossier Display screen, click the link *Create New Version*:**



The following screen is displayed:



3. Click the Yes button.

The new version is created and displayed on the screen.

The values in the sections *Associated Documents*, *Last Validation Results* and *History* are initialised. The other values are copied

4. Perform the required updates for the new Management and Control Systems Dossier version.

Refer to the procedures described in section [Updating Management and Control Systems Dossiers](#).

5. Validate the new version of the Management and Control Systems Dossier.

Refer to the procedures in chapter [Validating Management and Control Systems Dossiers](#).

6. Send the revised and validated new version to the European Commission.

Refer to the procedures in chapter [Sending validated Management and Control Systems Dossiers to the European Commission](#).

7. You will now have to wait until the European Commission evaluates the new version of the Management and Control Systems Dossier and notifies you of their decision.

Refer to [Evaluating submitted \(sent\) Management and Control Systems Dossiers \(by the Commission\)](#).

2.11. Management and Control System Dossiers Data Fields

This section provides a detailed description of the data fields you can encounter when managing Management and Control Systems Dossiers. The fields are grouped in a table per tab.

The tables always have the same structure and contain the following information for each field:

- Field name
- Description
- Maximum Length (M.L.) expressed as a number of characters.

If the entry length is pre-defined, the field contains a dash (-). This is the case for check boxes, for fields containing a date or another fix-format entry (such as a CCI) and for fields for which a predefined value must be selected from a drop-down list.

- Status: M (Mandatory), O (Optional), C (Calculated by the system)

2.11.1. General Management and Control Systems Dossier Data Fields

The following table lists the data fields containing General Settings about the Management and Control Systems Dossier. You can find them on one or more of the following screens:

- The Management and Control Systems Dossier Search pane
- The MCS Creation Wizard (First phase)
- The **General Details** section of the Management and Control Systems Dossier Display screen
- The **General** tab of the Management and Control Systems Dossier Edit screen

Note: This does not mean that all listed field appear on all screens.

Field name	Description	M.L.	Status
Title	The title describes the Management and Control Systems Dossier. You define the Management and Control Systems Dossier Title during the first phase of the Creation Wizard. When you are searching for a specific Management and Control Systems Dossier, you can enter (part of) the title to find the required Management and Control Systems Dossier. When you are editing an existing Management and Control Systems Dossier, you can change the settings in this field.	255	M
Comment	The comments further describes the Management and Control Systems Dossier. The user defines it during the first phase of the Creation Wizard. When you are editing an existing Management and Control Systems Dossier, you can change the settings in this field.	2000	O
Version	The version of the Management and Control Systems Dossier is a numeric value that is automatically incremented by 1, each time a new version of the Management and Control Systems Dossier is created. When you are searching for a specific Management and Control Systems Dossier, you can enter its version number.	-	C
Status	This field indicates the status of the Management and Control Systems Dossier you are working with. This is a read-only field completed automatically by the system. A Management and Control Systems Dossier can have the following status indications:	-	C

Field name	Description	M.L.	Status
	<ul style="list-style-type: none"> • Created: The Management and Control Systems Dossier has been created by the Member State user, but it has not yet been validated. • Validated: The Management and Control Systems Dossier has been validated by the Member State user, which means that it is in line with the Validation rules and can be sent to the European Commission. • Sent: The Management and Control Systems Dossier has been sent to the Commission by the Member State user and awaits treatment by the European Commission Operating Agent (ECO A). • Admissible: The Management and Control Systems Dossier has been admitted for evaluation by the ECO A. • Partially Accepted: The Management and Control Systems Dossier has been partially accepted by the ECO A. • Accepted: The MCS was accepted as a whole by the ECO A. • Returned: The Management and Control Systems Dossier was not admitted by the ECO A and has been sent back to the Member State. If the Commission returned the Management and Control Systems Dossier for correction, the Member State User can send a corrected version to the Commission again. If the Commission returned the Management and Control Systems Dossier with full rejection, the Member State User should cancel the Management and Control Systems Dossier and create a new one. • Cancelled: The Management and Control Systems Dossier has been cancelled by the Member State user. A Member State user can cancel a Management and Control Systems Dossier, if he does not want to correct a Management and Control Systems Dossier returned by the European Commission. Once a Management and Control Systems Dossier is cancelled, the covered Operational Programmes can be linked to another Management and Control Systems Dossier. 		
Previous Node	<p>This field contains the Node where the Management and Control Systems Dossier resided, before it was transferred to the current Node.</p> <p>When you are searching a Management and Control Systems Dossier, select the required Node from the drop-down list.</p>	-	C
Current Node	<p>This field contains the Node where the Management and Control Systems Dossier is residing now.</p> <p>When you are searching a Management and Control Systems Dossier, you can select the required Node from the drop-down list.</p>	-	C
Date	<p>This field contains the last modification date for the Management and Control Systems Dossier.</p>	-	C

2.11.2. *Programmes Covered Data Fields*

The following table lists the data fields containing information about the Programmes Covered by the Management and Control Systems Dossier. You can find them on one or more of the following screens:

- The Management and Control Systems Dossier Search pane
- The MCS Creation Wizard (Second phase)
- The ***Programmes Covered*** section of the Management and Control Systems Dossier Display screen
- The ***Programmes Covered*** tab of the Management and Control Systems Dossier Edit screen

Note: This does not mean that all listed field appear on all screens.

Field name	Description	M.L.	Status
Operational Programme CCI	An Operational Programme CCI unambiguously identifies an Operational Programme covered by the Management and Control Systems Dossier. During the second phase of the Management and Control Systems Dossier Creation Wizard, you must select at least one Operational Programme CCI covered by the Management and Control Systems Dossier. When you are searching a Management and Control Systems Dossier, you can enter (part of) an Operational Programme CCI in order to find the Management and Control Systems Dossier covering the entered OP CCI.	-	M
Operational Programme Title	The OP Title field contains the title linked to the Operational Programme. It cannot be edited when you are working with the Management and Control Systems Dossier.	255	C
Opinion Options	There are two possible values: <ul style="list-style-type: none"> • No Reserve meaning that the Member State's opinion about the Management and Control systems set up for the Operational Programme does not contain reservations. • With Reserve meaning that the Member State's opinion about the Management and Control systems set up for the Operational Programme contains reservations During the second phase of the Management and Control Systems Dossier Creation Wizard, you must select the required value by clicking an option button. When you are editing an existing Management and Control Systems Dossier, you can change this setting on the <i>Programmes Covered</i> tab.	-	M

Field name	Description	M.L.	Status
Opinion Comment	This field can contain a free comment about the selected Opinion setting. During the second phase of the Management and Control Systems Dossier Creation Wizard, you can enter a free comment in this field. When you are editing an existing Management and Control Systems Dossier, you can change the Opinion Comment on the Programmes Covered tab.	2000	O
Accept	This field indicates whether the Commission accepted the Management and Control Systems Dossier for a particular Operational Programme. For Member State users, it is present as a read-only status box on the Programmes Covered section on the Management and Control Systems Dossier Display screen. For European Commission users, it is available as a check box on the Programmes Covered tab of the Management and Control Systems Dossier Edit screen.	-	M
Not Accepted Reason	This field indicates the reason why the Commission did not accept the Management and Control Systems Dossier for a particular Operational Programme. For Member State users, the field is present as a read-only field on the Programmes Covered section of the Management and Control Systems Dossier Display screen. For European Commission users, it is available as a text box on the Programmes Covered tab of the Management and Control Systems Dossier Edit screen.	???	M

2.11.3. Reservations on Priorities Data Fields

The following table lists the data fields containing information about the Reservations on specific Priorities defined for Operational Programmes covered by the Management and Control Systems Dossier. You can find them on one or more of the following screens:

- The MCS Creation Wizard (Third phase)
- The **Reservations on Priorities** section of the Management and Control Systems Dossier Display screen
- The **Priority Reservations** tab of the Management and Control Systems Dossier Edit screen

Field name	Description	M.L.	Status
Operational Programme CCI	An Operational Programme CCI unambiguously identifies an Operational Programme covered by the Management and Control Systems Dossier. In the Reservations on Priorities section of the Management and Control Systems Dossier Display screen and on the Priority Reservations tab of the Management and Control Systems Dossier Edit screen, this field contains the CCI of the Operational Programme for which a reservation on a particular Priority has been defined.	-	M
Priority	This field contains the Title of the Priority as it was	-	M

Field name	Description	M.L.	Status
	defined in the Operational Programme. If a Priority appears in this field on the Reservations on Priorities section of the Management and Control Systems Dossier Display screen or the Priority Reservations tab of the Management and Control Systems Dossier Edit screen, this means that a specific reservation has been defined for that Priority.		
CCI – Priority	When you are defining Priority Reservations in the MCS Creation Wizard or the Management and Control Systems Dossier Edit screen, the CCI – Priority drop-down list contains the Priorities belonging to the Operational Programmes for which you selected the With Reserve opinion option. You can select the required definitions from the drop-down list.	-	M
Reservation Comment	In this field you can enter comments to the Priority Reservation.	2000 ???	O

2.11.4. Results on the Assessment Data Fields

The following table lists the data fields containing information about the Results on the Assessment defined for the Management and Control Systems Dossier. You can find them on one or more of the following screens:

- The **Results on the Assessment** section of the Management and Control Systems Dossier Display screen
- The **Assessment Results** tab of the Management and Control Systems Dossier Edit screen

Field name	Description	M.L.	Status
Authority / Body	This field field contains the name of the Authority or Intermediate Body whose Management and Control System is being assessed by the Member State Compliance Assessment Authority. When you are creating a new Assessment entry, you can enter the name of the Authority or the Intermediate Body in this field	255	M
Type	This field contains the an indication of the type of Authority or Intermediate Body to be assessed. The following types are available: <ul style="list-style-type: none"> • Audit Authority • Certifying Authority • Certifying Body • Coordination Body • Managing Authority • National Authorising Officer • National IPA Coordinator • Paying Agency 	-	M
Complete	If this status or check box is selected, the MSCO considers that the Description of the Management and Control Systems for the current Authority or Body is complete and accurate. If the status or check box is not selected, the MSCO considers that this Description is not complete and	-	M

Field name	Description	M.L.	Status
	accurate.		
Conclusion	<p>The Conclusion can be one of the following three values:</p> <ul style="list-style-type: none"> • Adverse: The MSCO gives a negative judgement on the Management and Control System as presented for the current Authority or Intermediate Body • Qualified: The MSCO gives a positive judgement on the Management and Control System as presented for the current Authority or Intermediate Body. However, the MSCO deems that the shortcomings in the system are important enough to make reservations. • Unqualified: The MSCO gives a positive judgement on the Management and Control System as presented for the current Authority or Intermediate Body. If there are shortcomings, the MSCO deems that they are not important enough to make reservations. 	-	M
Shortcomings	This field contains a textual description of the shortcomings the MSCO deems required mentioning.	2000	O
CCI Affected	<p>If the Assessment Result applies to a single Operational Programme, this field contains the matching CCI.</p> <p>When you are creating or editing an Assessment Result, you can limit the Assessment Result to an Operational Programme by selecting the matching CCI from the drop-down list.</p>	-	O
Priority Axis affected	<p>If the Assessment Result applies to a single Priority Axis linked to the selected Operational Programme, this field contains the user-defined Title of this Priority Axis.</p> <p>When you are creating or editing an Assessment Result, you can limit the Assessment Result to a Priority Axis by selecting the Operational Programme CCI and Priority Axis Title from the drop-down lists.</p>	-	O
Key / Auxiliary elements	This field contains a textual description of the Key and Auxiliary elements	2000	O
Recommendations / Corrective Measures	This field contains a textual description of the recommendations and corrective measures suggested by the MSCO in order to eliminate the signaled shortcomings .	2000	O

APPENDIX A: VALIDATION RULES FOR MANAGEMENT AND CONTROL SYSTEMS DOSSIERS

The following table lists the rules applied during the [validation of a Management and Control Systems Dossier](#).

Notes:

- The identification code in the left column can be helpful in your contacts with the SFC2007 Support.
- The severity column indicates which type of message is generated in case of non-compliance with the rule. As long as the Management and Control Systems Dossier generates errors, it cannot be validated and sent to the Commission.

Cod e	Severity	Description
2.1	Error	A Management and Control Systems Dossier title must be provided.
2.2	Error	At least one Operational Programme must be covered.
2.3	Error	There is at least one Priority with a reservation for each Operational Programme for which a reserve was expressed.
2.4	Warning	There must be at least one Official in Charge of the Member State.
2.5	Error	Only approved Operational Programmes can be covered by a Management and Control Systems Dossier.
2.6	Error	The Operational Programmes covered by the Management and Control Systems Dossier may not be covered by another Management and Control Systems Dossier.
2.7	Error	The following official documents must have been associated and uploaded with the uploaded in the system (error): <ul style="list-style-type: none"> • MS Management and Control Systems Description, • MS Management and Control Systems Opinion, • MS Management and Control Systems Audit Report on compliance assessment
2.8	Error	The Priority Axes referenced in the Assessment Results must belong to the last adopted Operational Programmes for which the assessment is made. These Operational Programmes must be the same as those referenced in the covered Operational Programmes (error).
2.9	Warning	There must be at least one Assessment Result available.
2.10	Error	There is an opinion expressed for each covered Operational Programme.

APPENDIX B: MANAGEMENT AND CONTROL SYSTEMS DOSSIER SAMPLE REPORTS

This appendix contains a sample for each of the four standard Management and Control Systems Dossier Reports:

- [Print Report](#)
- [Print All Report](#)
- [Snapshot Report](#)
- [Acknowledgement Report](#)

Appendix B.1 Print Report

You obtain this report if you click the [Print](#) link on the Management and Control Systems Dossier Display screen.

Member State Management and Control Systems Dossier

Title: Management and Control Systems Dossier for Portugal Version: 1 Status: Returned Last Modified: 21/11/2007

Comments: creation comments

1. Programme Covered

CCI	Title	Opinion
2007PT161PO001	OP for Portugal	No reserve

2. Reservations on Priorities

3. Result on the Assessment

Authority	Type	Complete	Conclusion	Shortcomings	CCI	Priority	Key Elements	Recommendations
Ministry of Finances	Audit Authority	<input checked="" type="checkbox"/>	Unqualified Opinion					

4. Supporting Documents

Title	Type	Language	Document	Sent Date	Commission Registration Nr	Local Reference
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	21/11/2007	21/11/2007		
opinion	MS Management and Control Systems Opinion	English	21/11/2007	21/11/2007		
description	MS Management and Control Systems Description	German	21/11/2007	21/11/2007		
op indep	Declaration of Competence and Operational Independance	Estonian	21/11/2007	21/11/2007		
audit rep on compl assess	Audit Report on compliance assessment	German	21/11/2007	21/11/2007		
prepareDocument - pt	Snapshot of data before send	Portuguese	21/11/2007	21/11/2007		
Justification for full rejection	EC Observations	Dutch	21/11/2007	21/11/2007		
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	21/11/2007	21/11/2007		

Appendix B.2 Print All Report

You obtain this report if you click the [Print All](#) link on the MCS Display screen.

Sections 1 – 8 are identical to the [Print Report](#).

The following sections are specific for the Detailed Report:

Member State Management and Control Systems Dossier

Title: Management and Control Systems Dossier for Portugal Version: 1 Status: Returned Last Modified: 21/11/2007

Comments: creation comments

1. Programme Covered

CCI	Title	Opinion
2007PT161PO001	OP for Portugal	No reserve

2. Reservations on Priorities

3. Result on the Assessment

Authority	Type	Complete	Conclusion	Shortcomings	CCI	Priority	Key Elements	Recommendations
Ministry of Finances	Audit Authority	<input checked="" type="checkbox"/>	Unqualified Opinion					

4. Supporting Documents

Title	Type	Language	Document	Sent Date	Commission Registration Nr	Local Reference
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	21/11/2007	21/11/2007		
opinion	MS Management and Control Systems Opinion	English	21/11/2007	21/11/2007		
description	MS Management and Control Systems Description	German	21/11/2007	21/11/2007		
op indep	Declaration of Competence and Operational Independance	Estonian	21/11/2007	21/11/2007		
audit rep on compl assess	Audit Report on compliance assessment	German	21/11/2007	21/11/2007		
prepareDocument - pt	Snapshot of data before send	Portuguese	21/11/2007	21/11/2007		
Justification for full rejection	EC Observations	Dutch	21/11/2007	21/11/2007		
Acknowledgement_pt.pdf	MCS Sent Acknowledgement Document	Portuguese	21/11/2007	21/11/2007		

5. Last Validation Results

Date	Severity	Message
21/11/2007	Info	Object has been validated.

6. History

Status	Comment	By Level	Date	User
Returned	not sufficiently documented	Commission	21/11/2007	w0050139
Sent	After Re-Open	Commission	21/11/2007	w0050139
Admissible		Commission	21/11/2007	w0050139
Sent		Portugal	21/11/2007	w0052354
Validated		Portugal	21/11/2007	w0052354
Returned	Fully rejected	Commission	21/11/2007	w0050139
Sent		Portugal	21/11/2007	w0052354
Validated		Portugal	21/11/2007	w0052354
Created		Portugal	21/11/2007	w0052354
Validated		Portugal	21/11/2007	w0052354
Returned	not sufficiently documented	Commission	20/11/2007	w0050139

7. Officials in Charge

Name	Phone	Fax	Email	Valid from	Until
John Smith			John.Smith@ec.eu		

Appendix B.3 Snapshot Report

You obtain this report if you open the *prepareDocument.pdf* file which is generated automatically, when you [send the Management and Control Systems Dossier to the Commission](#).

Member State Management and Control Systems Dossier

Title: Management and Control Systems Dossier for Portugal Version: 1 Status: Returned Last Modified: 21/11/2007

Comments: creation comments

1. Programme Covered

CCI	Title	Opinion
2007PT161PO001	OP for Portugal	No reserve

2. Reservations on Priorities

3. Result on the Assessment

Authority	Type	Complete	Conclusion	Shortcomings	CCI	Priority	Key Elements	Recommendations
Ministry of Finances	Audit Authority	<input checked="" type="checkbox"/>	Unqualified Opinion					

4. Supporting Documents

Title	Type	Language	Document	Sent Date	Commission Registration Nr	Local Reference
Audit Report on compliance assessment	Audit Report on Compliance Assessment	Portuguese	16/11/2007			
Document Checksum	03e3177c 2cb85617 26698b04 7cc90848 592e2108 1874d76c 6c28a9a4 34203093 05e5242d b99e6a8a 6fc967a6 4a65fd63 54e49535 387d1a44 7553bc70 fbc5ddaf					
Description of Control system	MS Management and Control Systems Description	Portuguese	16/11/2007			
Document Checksum	36e7fe34 a0c09fcf daa7c67d 85e4568 c8eb434b d3870174 2906005c 282e8675 e69119a3 1b24c186 7067a4e1 89743515 c01c84d4 e1c196cb 82e56a0a 54b11201					
Opinion doc	MS Management and Control Systems Opinion	Portuguese	16/11/2007			
Document Checksum	f74c514a 389cfc0b fc77efec ebd47d54 0ca6a0e2 ce4bac43 1d8f87e6 da66a636 d065e8e3 3d5e8474 e97631c4 c58c8276 cb493ff3 b817aeee e4417c13 791ea8c1					

Checksum on all Structured Data

0561acd7 8fbfa73d 0c2d2caa 66271de7 a7d2fdfa f92d9b3d 43e51e64 1adec7f5
1775f4da 4251e989 733d3252 bdfcab2d e24dc251 1f5ed1c1 f97ef44 a833686b

At the bottom of the last page, a *Checksum on all Structured Data* is also available. The notion *Structured data* refers to the values, text and selections entered in the SFC2007 web application. If the checksum does not change between reports, it is clear that the values have not been changed.

Appendix B.4 Acknowledgment Report

When the Member State sends a Major Project to the Commission, the Commission acknowledges its reception by means of an automatically generated and digitally signed Acknowledgment Report. This report has a name in the following format: *Acknowledgement_ll.pdf*, where *ll* is the two-letter language code.

The first page of the Acknowledgment report contains the following statements:

<p style="text-align: center;">SFC2007</p> <p style="text-align: center;">Acknowledgment of Receipt</p> <p>This document acknowledges the reception on 07/08/2007 at 17:07:11 MEST by the European Commission of version 1 of the MS Management and Control Systems Dossier "Management and Control Systems Dossier for Portugal", sent via the SFC2007 system by w0052354 on behalf of their Member State</p> <p style="text-align: center;">Digital Signature</p> <p>This document certifies that the European Commission has officially recorded in the SFC2007 Information System, at a given date and time, the documents and structured data that are described in the following pages. These documents and data have been entered into the SFC2007 system by users officially appointed by their Member State and have been formally transmitted to the European Commission by the person whose name is indicated on the first page. As such, this acknowledgement of receipt cannot commit the European Commission to anything else other than acknowledging the receipt of these documents and data. In no way can this acknowledgement of receipt be considered as a commitment to approval or acceptance.</p> <p>This acknowledgement of receipt is signed with an electronic certificate guaranteeing the date and time of the signature as well as the integrity of this document. The certificate used to sign this document is held by the European Commission and can be verified by the corresponding public key which can be downloaded from the CIRCA site of the SFC2007 project (http://forum.europa.eu.int/Members/irc/region/sfc2007/library?l=/control_security&vm=detailed&sb=Title), as well as the instructions as how to use this public key.</p>
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The second page looks as follows:

Member State Management and Control Systems Dossier

Title: Management and Control Systems Dossier for Portugal Version: 1 Status: Returned Last Modified: 21/11/2007

Comments: creation comments

1. Programme Covered

CCI	Title	Opinion
2007PT161PO001	OP for Portugal	No reserve

2. Reservations on Priorities

3. Result on the Assessment

Authority	Type	Complete	Conclusion	Shortcomings	CCI	Priority	Key Elements	Recommendations
Ministry of Finances	Audit Authority	<input checked="" type="checkbox"/>	Unqualified Opinion					

4. Supporting Documents

Title	Type	Language	Document	Sent Date	Commission Registration Nr	Local Reference
Audit Report on compliance assessment	Audit Report on Compliance Assessment	Portuguese	16/11/2007			
Document Checksum	03e3177c 2cb85617 26698b04 7cc90848 592e2108 1874d76c 6c28a9a4 34203093 05e5242d b99e6a8a 6fc967a6 4a65fd63 54e49535 387d1a44 7553bc70 fbc5ddaef					
Description of Control system	MS Management and Control Systems Description	Portuguese	16/11/2007			
Document Checksum	36e7fe34 a0c09fcf daa7c67d 85ed4568 c8eb434b d387017d 2906005c 282e8675 e69119a3 1b24c186 7067a4e1 89743515 c01c84d4 e1c196cb 82e56a0a 54b11201					
Opinion doc	MS Management and Control Systems Opinion	Portuguese	16/11/2007			
Document Checksum	f74c514a 388cfc0b fc77efec ebd47d54 0ca6a9e2 ce4bac43 1d8f87e6 da66a636 d065ebe3 3d5e8474 e97631c4 c58c8276 cb493ff3 b817aeee e4417c13 791ea8c1					

Checksum on all Structured Data

0561acd7 8fbfa73d 0c2d2caa 66271de7 a7d2fdfa f92d9b3d 43e51e64 ladec7f5
1775f4da 4251e989 733d3252 bdfcab2d e24dc251 1f5ed1c1 f97e6f44 a833686b

The Document Checksum refers to the document listed above. It allows making sure that two copies of the document are identical.

At the bottom of the last page, a *Checksum on all Structured Data* is also available. The notion *Structured data* refers to the values, text and selections entered in the SFC2007 web application. If the checksum does not change between reports, it is clear that the values have not been changed.