



## How to create and send the Management and Control Systems dossier?

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### Purpose of this functionality

Uploading management and control system documents and data, linking them to one or more operational programmes and submitting them to the Commission

### Regulation source

ERDF/CF and ESF: EC 1083/2006 article 71  
EFF: EC 1198/2006 article 71

*Before the submission of the first interim application for payment or at the latest within twelve months of the approval of each operational programme, the Member States shall submit to the Commission a description of the systems, covering in particular the organisation and procedures.*

ERDF/CF and ESF: EC 1828/2006 article 21, 40.2.h and annex XII  
EFF: EC 498/2007 article 47, 65.2.f and annex XII

### Concerned Funds

ERDF/CF	ESF	EFF	EAFRD
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### User roles and permission needed

To create, edit and validate: **MS COMPLIANCE ASSESSMENT AUTHORITY UPDATE (MSCO U)**  
To Send: **MS AUTHORITY SEND (MSA S)**, **MS MANAGING AUTHORITY SEND (MSMA S)** or **MS Audit Authority (MSAA S)**

### Before you start, check that...

The covered Operational Programme(s) have already been approved by the Commission (status is Decision Taken)

**Disclaimer:** The information contained herein 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.

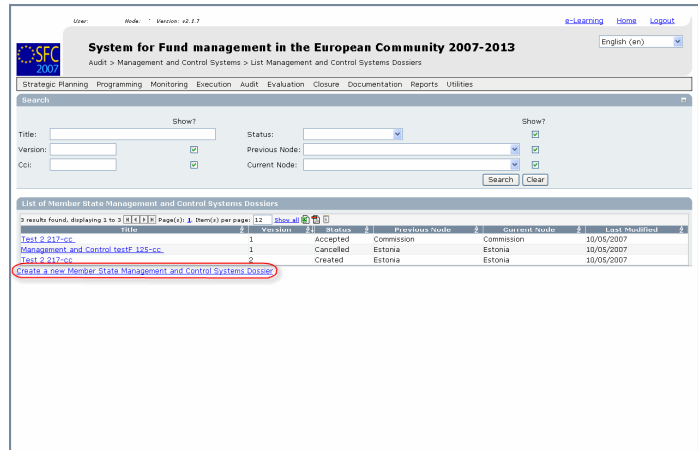
Version 1.4 - Last revised: 15/5/2009

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## 1. Create the Management and Control System Dossier

### 1.1. How to create a new Management and Control System Dossier?

1. Go to the **Audit** > **Management and Control Systems** menu.  
The Management and Control System dossiers list appears.



2. Select the [Create a new Member State Management and Control Systems Dossier](#) option.

#### The Creation wizard

The Create MS Management and Control Systems Dossier wizard appears.

This wizard is divided into three steps:

- General Details
  - Programmes covered
  - Reservation of priorities (if applicable).
- fields marked with asterisk "\*" are mandatory.

The screenshot shows the 'Create MS Management and Control Systems Dossier - Step 1: Provide General Details' wizard. The interface includes a progress bar at the top with three steps: 'General Details', 'Programmes Covered', and 'Reservation of Priorities'. The 'General Details' step is currently active. Below the progress bar, there are two input fields: 'Title:' and 'Comment:'. The 'Title' field is a text box, and the 'Comment' field is a text area. At the bottom right of the form, there are two buttons: 'Next' and 'Cancel'. The 'Next' button is circled in red.

3. Enter the requested data
  - Title of the dossier \*
  - Comments (optional)

4. Click on **Next**.

The second step of the wizard appears. Select the programmes covered by the dossier.

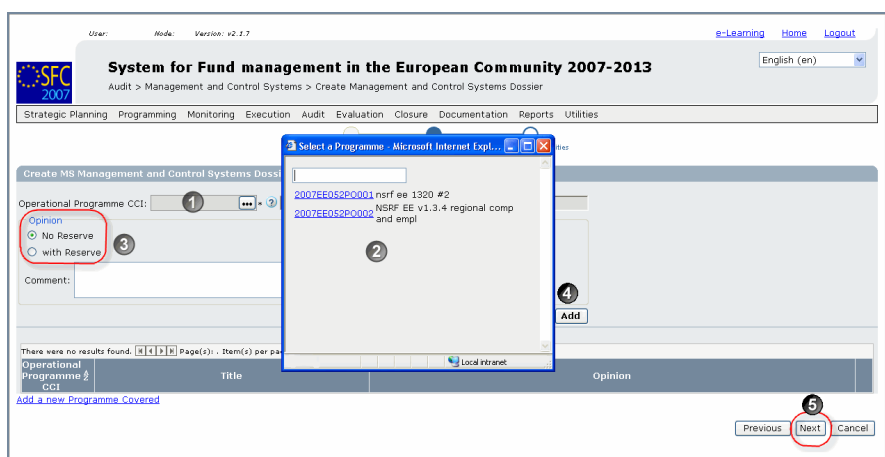
- (1) Click on the add CCI button 

Only programmes with status "Decision Taken" appear in the window.

- (2) Select one of them

(3) Specify if there is a reserve on it or not (check "No Reserve" or "with Reserve")

- (4) to add the programme click **Add**



Repeat the steps for each programme to be covered.


5. Click **Next** to continue to the third step of the wizard.

The third step of the wizard appears.


6. Select the priorities on which there is a reserve:

Only priorities of programmes marked "with Reserve" on the previous step, appear on the list.

(1) Select the priorities from the drop down list and enter a comment if you want to.

(2) Click  to add the priority to the list.

Repeat the steps for each priority.



7. Click  to complete the wizard (3).

## 1.2. Editing the dossier

**TO GET IN EDIT MODE:** - If you directly edit the MCS dossier after finishing the wizard, you are directed automatically to the edit tabs.

- If you are editing the MCS dossier at a later stage, go to the menu **AUDIT > MANAGEMENT AND CONTROL SYSTEMS**. The existing MCS dossier is displayed in the list. Click on its title. You are directed to the MCS display screen. Select any of the "edit" options that appear. You are directed to the editing tabs.

The following tabs are available:

**General:** Containing the general information you entered on step 1 of the wizard

**Programmes Covered:** including the programmes entered on step 2 of the wizard.

**Priority Reservations:** including the priorities you added on step 3 of the wizard.

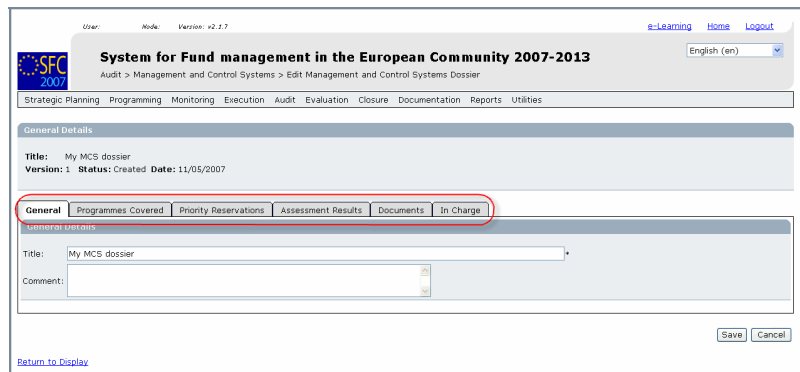
You can click on the corresponding tab to modify/delete/ the values you entered or to add new ones.

Additionally following tabs are available.

**Assessment Results** : To enter the results of the assessment.

**Documents** : to upload the different documents for the dossier.

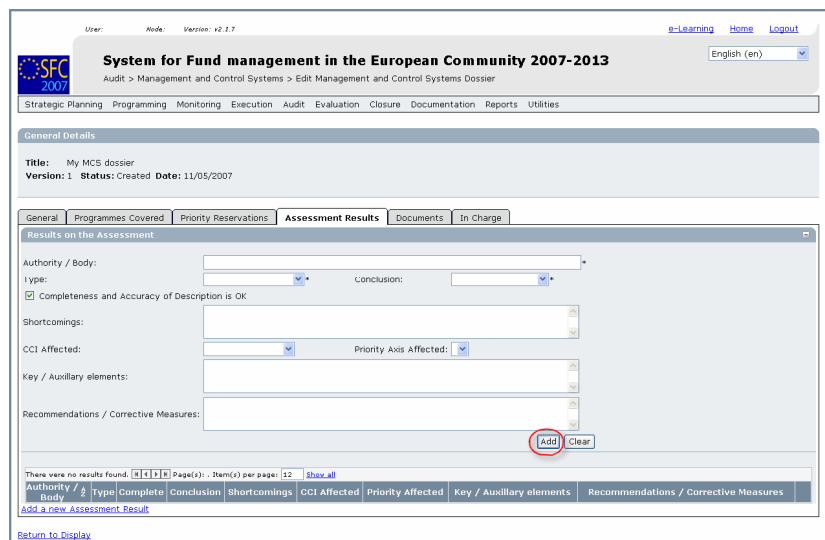
**In Charge** : to add the names of the officials in charge.



The screenshot shows the 'System for Fund management in the European Community 2007-2013' interface. The 'General Details' section is active, and the 'In Charge' tab is highlighted with a red circle. The 'Title' field contains 'My MCS dossier' and the 'Version' is '1'. The 'Status' is 'Created' and the 'Date' is '11/05/2007'. There are 'Save' and 'Cancel' buttons at the bottom right.

### 1.2.1. Adding the Assessment results

8. Select the **Assessment Results** tab.  
Fields marked with asterisk ( \* ) are mandatory.



The screenshot shows the 'System for Fund management in the European Community 2007-2013' interface. The 'Assessment Results' tab is selected. The 'Results on the Assessment' section contains several fields: 'Authority / Body', 'Type', 'Conclusion', 'Completeness and Accuracy of Description is OK' (checkbox), 'Shortcomings', 'CCI Affected', 'Priority Axis Affected', 'Key / Auxiliary elements', and 'Recommendations / Corrective Measures'. There are 'Add' and 'Clear' buttons at the bottom right. A red circle highlights the 'Add' button. At the bottom, there is a table with columns: Authority / Body, Type, Complete, Conclusion, Shortcomings, CCI Affected, Priority Affected, Key / auxiliary elements, Recommendations / Corrective Measures. The table is currently empty.

**Authority / Body** : the name of the authority expressing the results of the assessment.

**Type** : The type of Authority.

**Conclusion** : Adverse opinion, Qualified opinion, Unqualified opinion.

**Completeness and Accuracy of Description is OK** : Check this option if it is applicable.

**Shortcomings** : Description of shortcomings.

**CCI Affected** : The CCI number of the programme affected.

**Priority Axis Affected** : The priority affected (from the selected programme).

**Key / Auxiliary elements** : Description of the auxiliary elements.

**Recommendations / Corrective Measures** : Description of the recommendations or corrective measures.

9. Click **Add** to add this assessment result

10. Click [Add a new Assessment Result](#) to add a new assessment result in necessary.

### 1.3. Uploading the documents

The documents to be uploaded on this section correspond to the following regulation annexes:

For EFF

Commission Regulation (EC) No 498/2007 of 26 March 2007 laying down detailed rules for the implementation of Council Regulation (EC) No 1198/2006 on the European Fisheries Fund.

Annex XII

For Structural Funds

Commission Regulation (EC) No 1828/2006 of 8 December 2006 setting out rules for the implementation of Council Regulation (EC) No 1083/2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and of Regulation (EC) No 1080/2006 of the European Parliament and of the Council on the European Regional Development Fund.

Annexes XII and XIII

11. Click on the **Documents** tab.  
The Upload Documents screen appears.

There are three types of documents to be uploaded:

Audit Report on compliance assessment

MS Management and Control Systems Description (EFF: Annex XII Part A, Structural Funds: Annex XII)

MS Management and Control Systems Opinion (EFF: Annex XII Part B, Structural Funds: Annex XIII)

For each document, the following steps have to be followed:

#### 1.3.1. To add general information about the document

Fields marked with asterisk ( \* ) are mandatory.

The screenshot shows the 'System for Fund management in the European Community 2007-2013' interface. The 'Documents' tab is active, displaying a form for document details. The 'Document Details' section includes fields for Type, Title, Document Date, Language, Commission Registration N°, and Local Reference. The 'Attachments' section shows a table with columns for Title, Filename, Link, and Upload Date. A 'Save' button is highlighted with a red circle.

- Select the type of document
- Enter a title
- Enter the date of the document
- Select the language of the document
- Enter a local reference (optional)
- Enter comments (optional)

12. Click 

The [Add a new Attachment](#) option appears. Click on it.

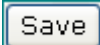
(1) Give a title to the uploaded file.

(2) Click on  to

search for the file on your computer.

(3) Select the file by double-clicking on it.

The screenshot shows the 'System for Fund management in the European Community 2007-2013' interface. The 'Attachments' section is active, showing a 'Choose file' dialog box. The dialog box displays a file named 'My Audit Report file.doc' selected. The 'Attachment' section shows the 'Title' field with 'My Audit Report nr 1' and the 'Attachment to' section with 'upload' selected. A 'Save' button is highlighted with a red circle.

13. Click  (4).

Repeat steps 1.3.1 to 13 to add the remaining two documents

## 1.4. Adding the officials in charge

**REMARK:** This information is optional

14. Select the **In Charge** tab.  
The add officials in charge tab appears.
15. Select the [Add a new Official in Charge](#) option.
16. Enter the requested data:  
Fields marked with asterisk ( \* ) are mandatory.

The screenshot shows the SFC2007 web application interface. At the top, there is a navigation menu with options like 'Strategic Planning', 'Programme Monitoring', 'Execution', 'Audit', 'Evaluation', 'Closure', 'Documentation', 'Reports', and 'Utilities'. The main content area is titled 'General Details' and shows 'Title: My MCS dossier' and 'Version: 1 Status: Created Date: 11/05/2007'. Below this, there are several tabs: 'General', 'Programmes Covered', 'Priority Reservations', 'Assessment Results', 'Documents', and 'In Charge'. The 'In Charge' tab is active, displaying a form for adding an official. The form includes fields for Name, Phone, Email, Fax, Valid From, and Until. There are also checkboxes for 'Automatically Notified' (checked) and 'Commission Official' (unchecked), and a dropdown for 'Preferred Language'. At the bottom of the form, there are 'Add' and 'Clear' buttons. Below the form, there is a table with columns for Name, Phone, Fax, Email, Valid From, and Until. The table currently shows 'There were no results found.' and a link to 'Add a new Official in Charge'.

- Name of the official
  - E-mail address
  - Phone and Fax
  - Valid from and Until (if the official will be in charge only for a specific period of time)
  - Automatically notified: must be checked  in order to receive the automatic notifications.
  - Preferred language: The automatic notifications will be sent in the selected language.
17. Click

Repeat the steps to add as many officials as necessary (no limitation).

**TIP** If a user no longer wants or needs to receive the automatic notifications, simply select the user, uncheck the Automatically Notified option  and click .



## 2. Validate the entered data

18. Click on the option [Return to Display](#) .

The Display Management and Control Systems Dossier screen appears. You have an overview of the dossier and its contents.

19. Click on the [Validate](#) option.

The system checks the consistency of the data.

The validation results screen appears:



If no errors detected, the message Object has been validated. appears.

**REMARK:**

After successful validation, the status of the Dossier is "**Validated**".

If errors are detected, the status remains "created"

Validation rules: go to **a: Validation rules for the Management and Control Systems dossier** section

**TIP:** If errors are detected and you need to modify/add/delete data, click on the [Return to Display](#) option and click [Edit](#) on the specific section to get to the corresponding edit tab.

### 3. Sending the Dossier to the Commission

**IMPORTANT !** Only users with access as **MS Authority Send (MSA S)**, **MS Managing Authority Send (MSMA S)** or **MS Audit Authority (MSAA S)** can send the dossier to the Commission.

20. Go to the  >  menu.  
The Management and Control System dossiers list appears.
21. Select the corresponding dossier form the list by clicking on it.  
The Display Management and Control Systems Dossier screen appears. You have an overview of the dossier and its contents.
22. Click on the  option.  
The confirm sending screen appears. The screenshot report is available (this report contains the screenshot of the data to be sent)
23. Click  to confirm the sending.  
You are redirected to the display screen.

**REMARK:** The status of the Dossier is "Sent".

### 4. Create a new version of the MCS dossier

**REMARK** A new version of the MCS dossier can only be created if the status of the previous version is "Accepted". If the workflow status is not yet "Accepted" you can modify the contents of your existing MCS version.

1. Select the Audit > Management and Control Systems menu
2. The existing (previous) version of the dossier appears. Click on it
3. In the display screen, select the "Create an new version of the Management and Control Systems dossier"  
The new version is created

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**INFO** you are redirected to the display screen. New version number appears in the general section and is increased by 1. The status of this new version status is "Created".

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4. Select any of the "edit" buttons in the screen to get to the edit mode.
5. You can add or modify the existing data by overwriting it
6. To upload the corresponding documents for the new version, please refer to the **UPLOADING THE DOCUMENTS** chapter

**a. VALIDATION RULES FOR THE MANAGEMENT AND CONTROL SYSTEMS DOSSIER**

<b>code</b>	<b>validation rule</b>	<b>Severity</b>
2.1	a title is provided	Error
2.2	at least one Operational Programme is covered	Error
2.3	for each Operational Programme for which a reserve was expressed, there is at least one Priority with a reservation	Error
2.4	at least one Official in Charge of the Member state exists	Warning
2.5	only approved Operational Programmes have been referenced	Error
2.6	the covered Operational Programmes are not covered in other Member State Management and Control Systems Dossiers	Error
2.7	the following official documents were uploaded in the system: MS Management and Control Systems Description MS Management and Control Systems Opinion MS Management and Control Systems Audit Report on compliance assessment MS Declaration of Competence and Operational Independence	Error Error Error Warning
2.8	the Priority Axes referenced in the Assessment Results belong to the last adopted Operational Programmes for which the assessment is made and those Operational Programmes are the same as those referenced in the covered Operational Programmes	Warning
2.9	at least one Assessment Result exists	Warning
2.10	for each Operational Programme covered, there is an opinion expressed (implicit for web by default to false)	Error
2.11	programmes covered either all belong to EFF or either all belong to the Structural Funds and the Cohesion Fund	Error

**b. WORKFLOW OF THE MANAGEMENT AND CONTROL SYSTEMS DOSSIER**

<b>Action</b>	<b>Status</b>	<b>Editable by MS?</b>
The MS creates the Management and Control Systems dossier	Created	Yes
The MS Validates the data entered for the dossier	Validated	Yes
The MS Sends the dossier to the Commission	Sent	Only the "Officials in charge" section and sending of "other MS documents"
The Commission Accepts the dossier	Accepted	Only the "Officials in charge" section and sending of "other MS documents"
The Commission Returns the dossier for correction	Returned (for correction)	yes
<b>Workflow Final Status of the MCS dossier</b>	<b>ACCEPTED</b>	<b>Only the "Officials in charge" section and sending of "other MS documents"</b>

**c. GLOSSARY**

MCS: Management and Control Systems