Control Data and Control Statistics EAFRD/EAGF 2
Workflow 4
Definitions, Acronyms & Abbreviations 6
Actors Catalogue 7
Create the CDS 7
Record/Edit the CDS 10
General 10
Version Information 10
Officials in Charge 11
History 13
Documents 14
Uploading & Sending documents 14
Sending an unsent non-integral document 17
Deletion of an unsent document 19
Hiding a sent document 20
Observations 21
Control Data and Control Statistics 22
Validate Control Data and Control Statistics documents (WinCheckCSV) 26
Validate the CDS 28
Send the CDS 29
Delete the CDS 31
Return CDS for Modification 33
Create a New Version of the CDS 33

Control Data and Control Statistics EAFRD/EAGF

PURPOSE

This document describes the specifications of the use-cases related to the electronic submission in SFC2014 of **Control Data and Control Statistics (CDS)** for direct payments schemes (EAGF) and rural development measures (EAFRD) as referred to in **Article 9(1) of Regulation (EU) No 809/2014.**

Article 9 **Notifications** 1. Each year, by 15 July, for all direct payment schemes, rural development measures and technical assistance and support schemes in the wine sector referred to in Articles 46 and 47 of Regulation (EU) No 1308/2013, Member States shall notify the Commission of the control data and control statistics covering the previous calendar year and, in particular, of the following: (a) data relating to individual beneficiaries in terms of aid applications and payment claims, areas and animals declared and/or claimed, results of administrative, on-the-spot checks and ex post checks; (b) where applicable, the results of the checks relating to cross- compliance including the relevant reductions and exclusions. Such notification shall take place by electronic means using the technical specifications for the transfer of the control data and control statistics made available to them by the Commission.

This electronic submission of CDS documents was previously ensured through the IT application STATEL/eDAMIS. Starting from claim year 2017 (submission deadline = 15/07/2018) all the Paying Agencies will have to do this electronic submission through SFC2014.

Member States are required to send information relating to the applications and payment claims of beneficiaries and in particular the numbers of checks carried out and the results of these checks by 15 July each year. These CDS are used by the Directorate-General for Agriculture and Rural Development (DG AGRI) i.e. to monitor the management of the funds and in the context of the Director General's Declaration of Assurance and the Annual Activity Report.

REGULATIONS

Article 9(1) of Regulation (EU) No 809/2014.

More detail regarding the regulation of CDS can be found in the 'About SFC2014' section of this portal.

ROLES

Roles involved in the CDS are:

MS Coordination Body	Create the CDS

	Record the CDS Upload the CDS Consult the CDS Delete the CDS Validate the CDS **Send** the CDS to an upper Node & to the Commission Create New Version of the CDS
MS Paying Agency	Create the CDS Record the CDS Upload the CDS Consult the CDS Delete the CDS Validate the CDS **Send the CDS to an upper Node (but not to the EC)** Create New Version of the CDS
MS Certification Body MS Managing Authority	**Consult** CDS
MS Audit Personal Data Read	For documents with personal data, the attachments files are encrypted and it is needed this role.

FUNDS

EAFRD/EAGF			

PRE-CONDITIONS

For CDS concerning **claim year 2017**, the information submitted by the Member State to the Commission through SFC2014 will consist in a set of documents (files) organised in sections. Some of these documents will be subject to a content validation by WinCheckCSV.

For **claim year 2017** (submission deadline = 15/07/2018), the Member States will not be able to submit any of this information through structured web-forms as it's usually the case in SFC2014.

This document doesn't cover the computer file structure of the CDS documents submitted by Member States. It doesn't cover either the content of the validation rules performed by WinCheckCSV on these files.

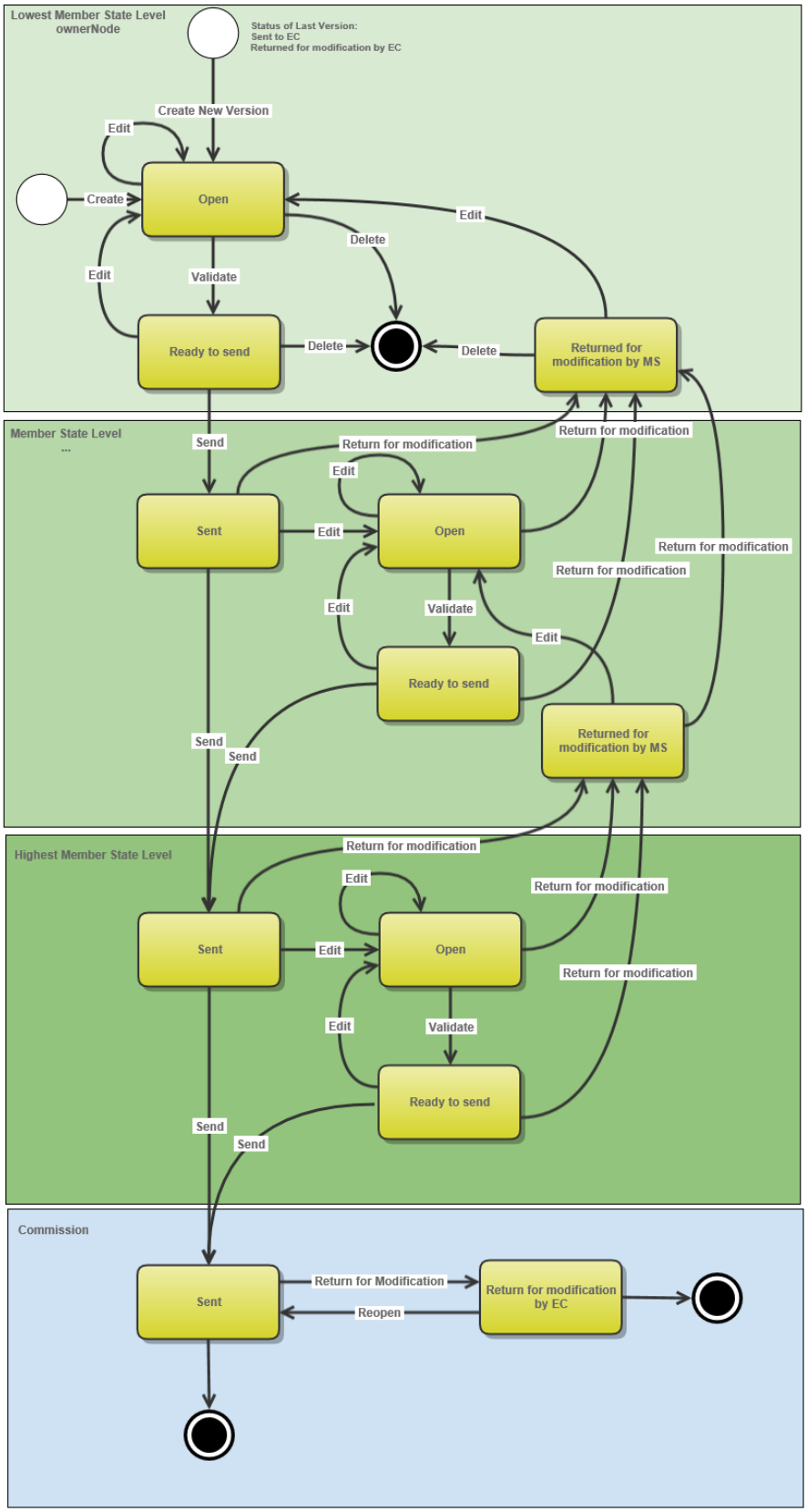
This document doesn't describe the interaction between SFC2014 and CATS/COMBO systems however an electronic exchange of some of the CDS documents between SFC and CATS is foreseen (similar to what is already in place for Annual Accounts).

Workflow

This section shows the lifecycle to create and manage the CDS.

If the Commission returns a CDS a new version has to be created and go through the whole process. There are no modifying CDS once they have been submitted. The Commission cannot change it – only respond.

Control Data and Control Statistics EAFRD/EAGF State Diagram



Definitions, Acronyms & Abbreviations

Name	Definition
CDS	Control Data and control Statistics
EAFRD	European Agricultural Fund for Rural Development
EAGF	European Agricultural Guarantee Fund
ECAS / EU Login	European Commission Authentication Service Until 04.11.2016 the EU Login was labelled as ECAS
eDAMIS	Electronic Dataflow Administration and Management Information System
Integral/Non Integrals Documents	Integral documents are documents sent to EC once the container object they belong is sent to EC. Non-integral documents can be sent at any time independently of the status of the container object.
Node	Depending on the political/geographical organisation of each country, a Member State can manage business objects, in the context of the SFC2014 application, in a centralised or decentralised manner. To represent all the Member States and the possible decentralisations inside each Member State, the notion of a Node has been introduced. A Node is a collection of users, representing the Commission, a Member State, a regional or a local Authority. Countries with a centralised management structure will only have a single Node, while other countries with a more decentralised structure could have a lot of them. Each user of the system can have one or more user profiles, each giving access to a specific node. https://ec.europa.eu/sfc/en/2014/document/sfc2014-node-hierarchies
SFC	Shared Fund Management Common System SFC2014 main function is the electronic exchange of information concerning shared Fund management between Member States and the European Commission for the period 2014-2020 SFC2014 URL: https://webgate.ec.europa.eu/sfc2014/frontoffice/ui Support Portal URL : https://ec.europa.eu/sfc/en/2014/about-sfc2014
Statel	https://webgate.ec.europa.eu/edamis/helpcenter/website/tools/statel/index.htm

WinCheckCSV	WinCheckCSV is a java program that checks requested csv data-files that the MS send to EC. It contains among others: • Checking the file format and layout, • Checking data types, • Checking some reference data.

Actors Catalogue

- **Member State Managing Authority (EAFRD)**: in the meaning of Article 65.2(a) of Regulation (EU) No 1305/2013
- **Member State Paying Agency (EAGF/EAFRD)**: accredited paying agency within the meaning of Article 7 of Regulation (EU) No 1306/2013;
- **Member State Certification Body (EAGF/EAFRD)**: within the meaning of Article 9 of Regulation (EU) No 1306/2013.
- **Member State Coordinating (known in SFC as Coordination) Body (EAGF/EAFRD)**: within the meaning of Article 2 of Regulation (EU) No 907/2014

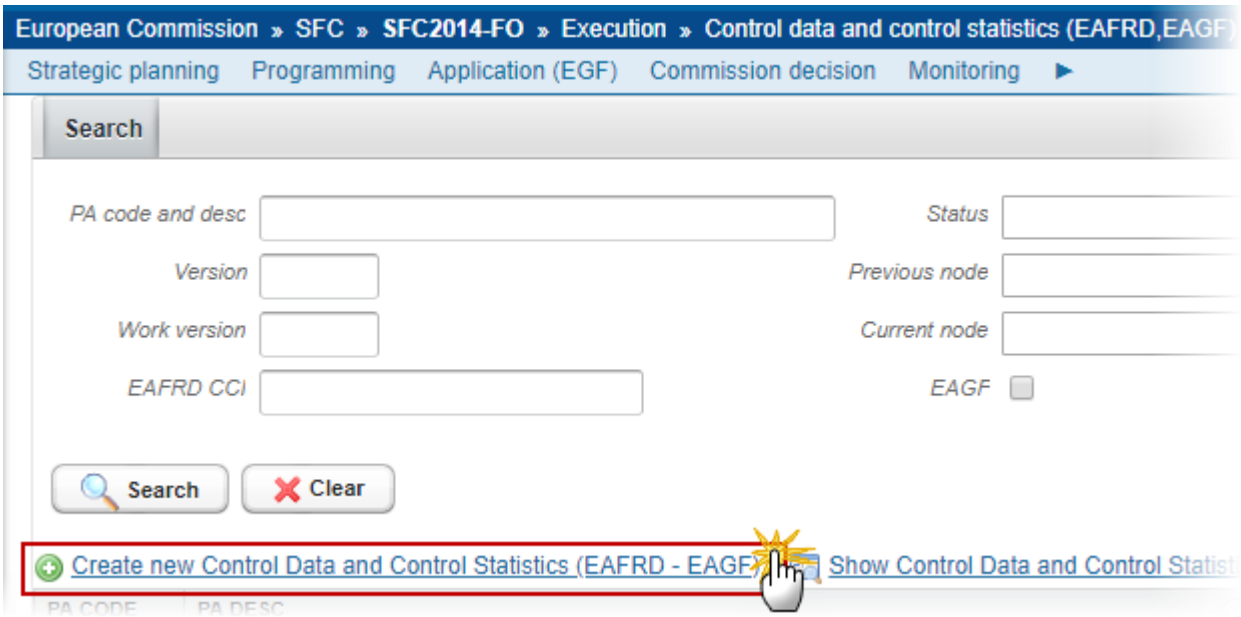
"*1. Where more than one paying agency is accredited, in accordance with Article 7(4) of Regulation (EU) No 1306/2013, the Member State concerned shall, by a formal act at ministerial level, decide on the accreditation of the coordinating body after it has satisfied itself that the administrative arrangements of that body offer sufficient assurance that it is capable of fulfilling the tasks referred to in that Article.*"

Create the CDS

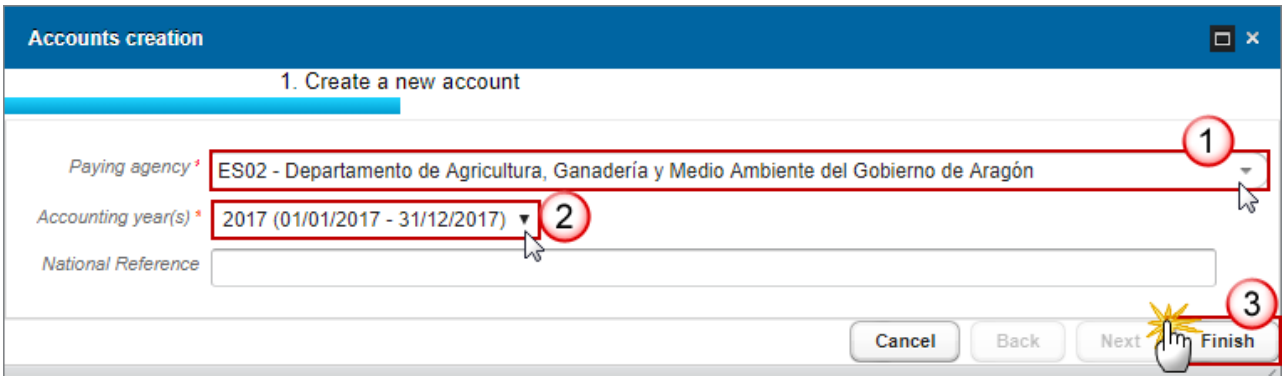
REMARK	It is a must to have the privilege to create the CDS, the user has the role of **MS Paying Agency OR MS Coordination Body with Update rights.** Preconditions: When creating a new CDS declaration for a specific Claim year and for a specific Paying Agency, this declaration doesn't yet exist. For Claim year YYYY, the regulation deadline for submission is 15/07/YYYY+1.

1. To access the **CDS** section first click on the **Execution** menu item **(1)** and then on the **Control Data and Control Statistics (EAFRD/EAGF)** menu item **(2)**.

2. Click on the **Create new Control Data and Control Statistics (EAFRD – EAGF)** link to create a new CDS.



You are redirected to the CDS creation wizard:



(1) Select the *Paying Agency*

The Paying Agency list contains all the valid paying agencies which were valid during the Accounting Year (i.e. for the full period or only part of it) of the country node of the registered user and for which a required CDS is missing for at least one opened Encoding period. The list returns the Paying Agency code and the Paying Agency description. In case the name (=description) of the PA has changed during the Accounting year, the list displays the most recent name (=description).

(2) Select the *Claim Year*

(3) Click on the **FINISH** button to confirm the creation action.

The status of the CDS is **OPEN**.

REMARK	The **Claim year** and the Encoding period are managed in the SFC database: By default: For Claim year YYYY: Encoding period=01/01/YYYY+1 to 31/12/YYYY+1 Example: For Claim year 2017: Encoding period=01/01/2018 to 31/12/2018 The list box displays only the Claim year(s) for which the Encoding period is currently opened and for which a required Control Data and Control Statistics version is missing for the selected PA For Claim year YYYY, the regulation deadline for submission is 15/07/YYYY+1.

Record/Edit the CDS

Find all the information to complete each screen of the CDS. Below are the links to the main sections:

- General
- Control Data and Control Statistics

General

Version Information

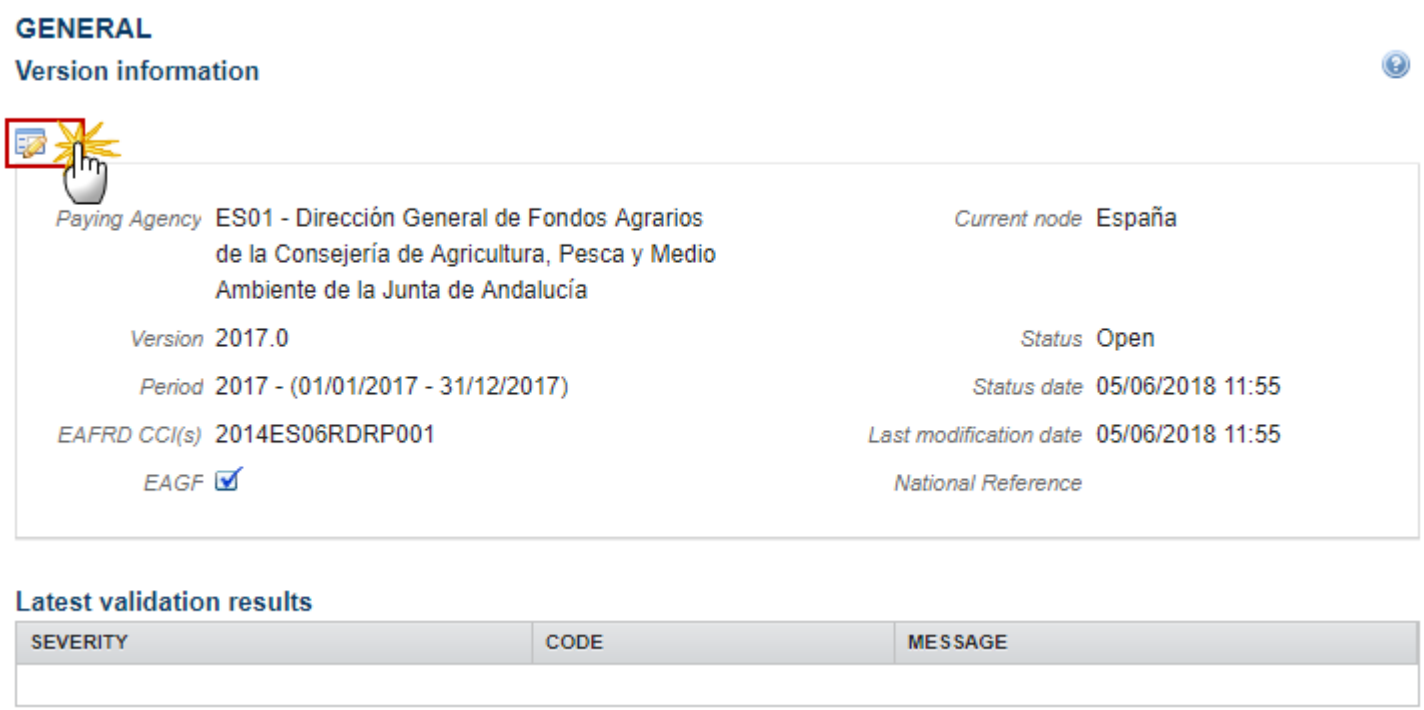
The Version Information contains information on the identification and status of the CDS Version like the Paying Agency code and description, the Version Number, the Status, Period, the Node where it currently resides and also the Claim year period. It also shows the results of the last validation done on this CDS Version.

The list of EAFRD CCI(s) is automatically displayed by the system based on the Paying Agency(ies) set in the accepted Declarations of Expenditure (DoE) related to the CDS Claim Year (for Claim Year YYYY = DOE YYYYQ1 to YYYYQ4).

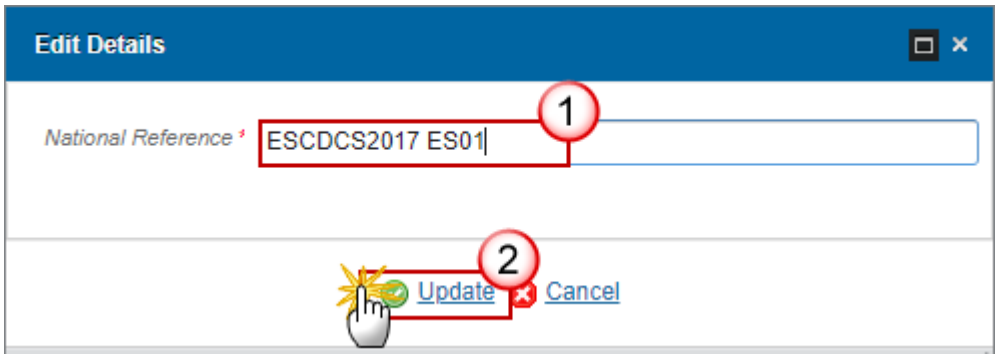
The Flag EAGF indicate that the CDS version concerns EAGF. It automatically set based on the Paying Agencies reference data.

Only the National Reference can be updated:

1. Clicking on the **EDIT** button of the Version information will allow you to update the National Reference.



The Edit Details pop-up window appears:

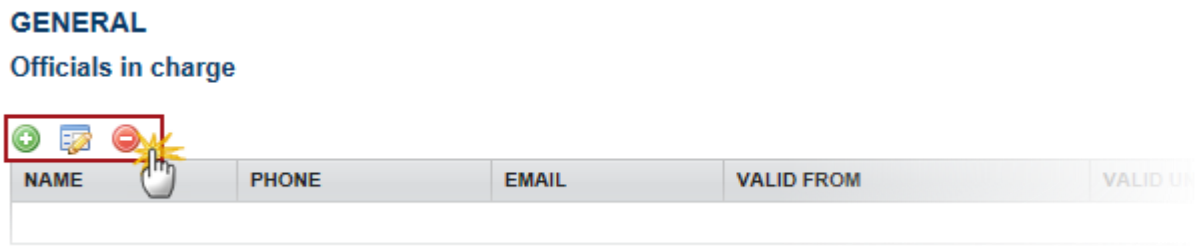


2. Enter the *National Reference* **(1)** and click on the **UPDATE** link **(2)** to confirm the action.

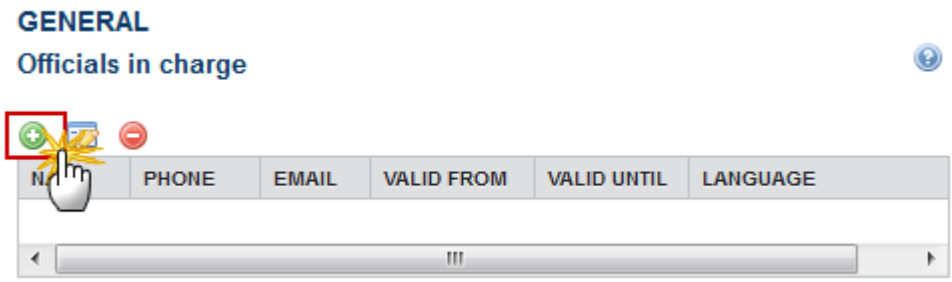
Officials in Charge

NOTE	Officials in Charge can be updated at any time, independent from the status of the CDS. The email is directly accessible via the email link.

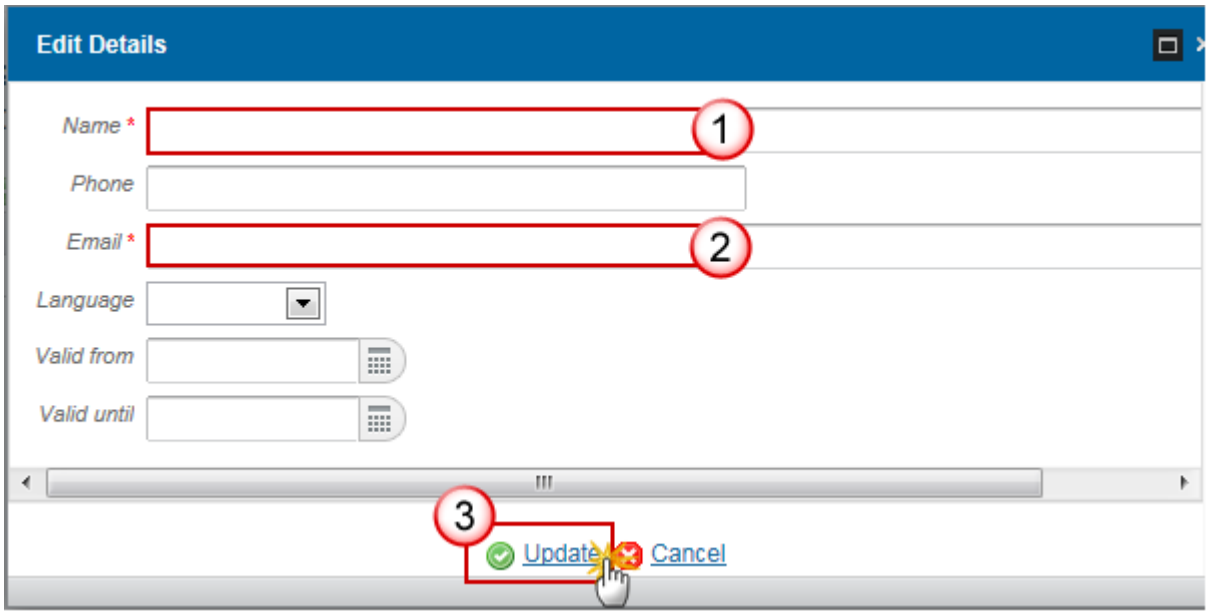
- Click on the **ADD** button to add a new official in charge.
- Select an official and click in the **EDIT** button to modify the information of this official.
- Select an official and click on the **REMOVE** button to delete the official in charge selected.



1. Click on the **ADD** button to add a new official in charge.



The Edit Details popup window appears:



2. Enter the following information:

(1) Enter the *Name*.

(2) Enter the *Email*.

(3) Click on **Update** to save the information.

NOTE	Commission Officials (email domain "ec.europa.eu") can only be created/updated/deleted by Commission Users.

History

This section shows all the actions that happened in the CDS version since it was created and the resulting Status, for example:

GENERAL

History

STATUS	ACTION	COMMENTS	BY LEVEL	DATE	USER
Ready to send	Validate		Austria	02-Sep-2014 09:52:57	AT Austria
Open	Create		Austria	01-Sep-2014 14:54:52	AT Austria

The email of the Actor/User is directly accessible via the email link.

Documents

The Documents list shows all documents uploaded against this version of the CDS by Member State and by Commission. Member State Users see all their own Documents and the sent Commission Documents. Commission Users see all their own Documents and the sent Member State Documents.

Hyperlinks to the uploaded physical files allow reading the content immediately.

The email of User who sent the Document is directly accessible via the Sent By link.

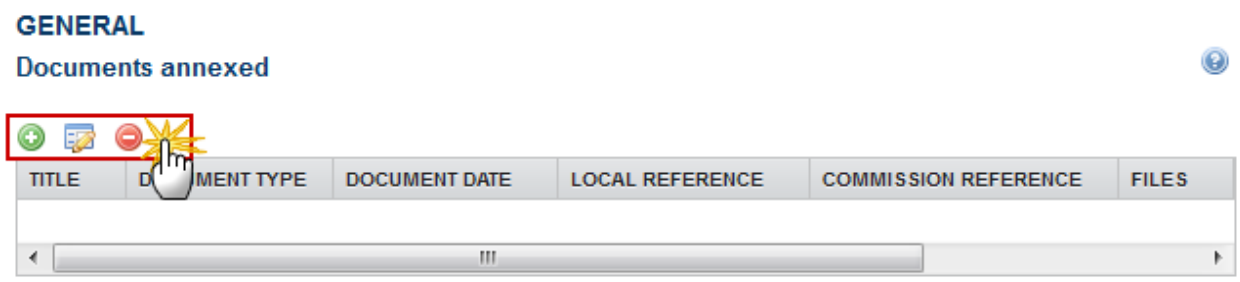
The following document types will be foreseen in this section:

Description	**Integral**	**System**	**Required**	**Structured**	**Validated**	**Pers. data**	**Registered**
Other Member State Document	N	N	N	N	N	N	Y
Snapshot of data before send	Y	Y	Y	N	N	N	Y
Acknowledgment of Receipt	Y	Y	Y	N	N	N	Y

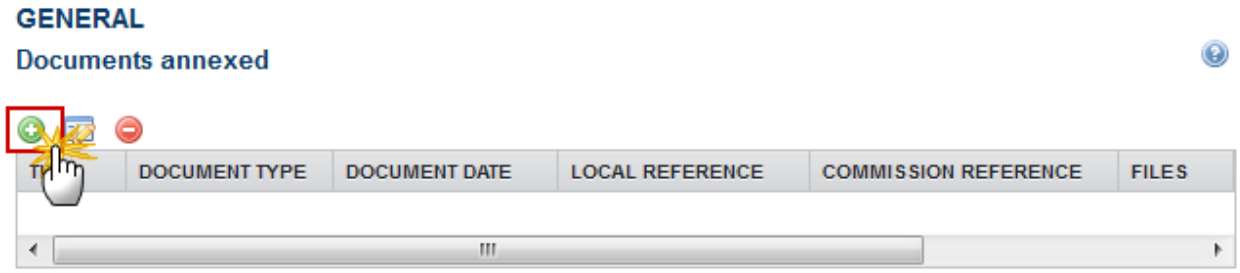
Uploading & Sending documents

Multiple documents can be uploaded in the CDS.

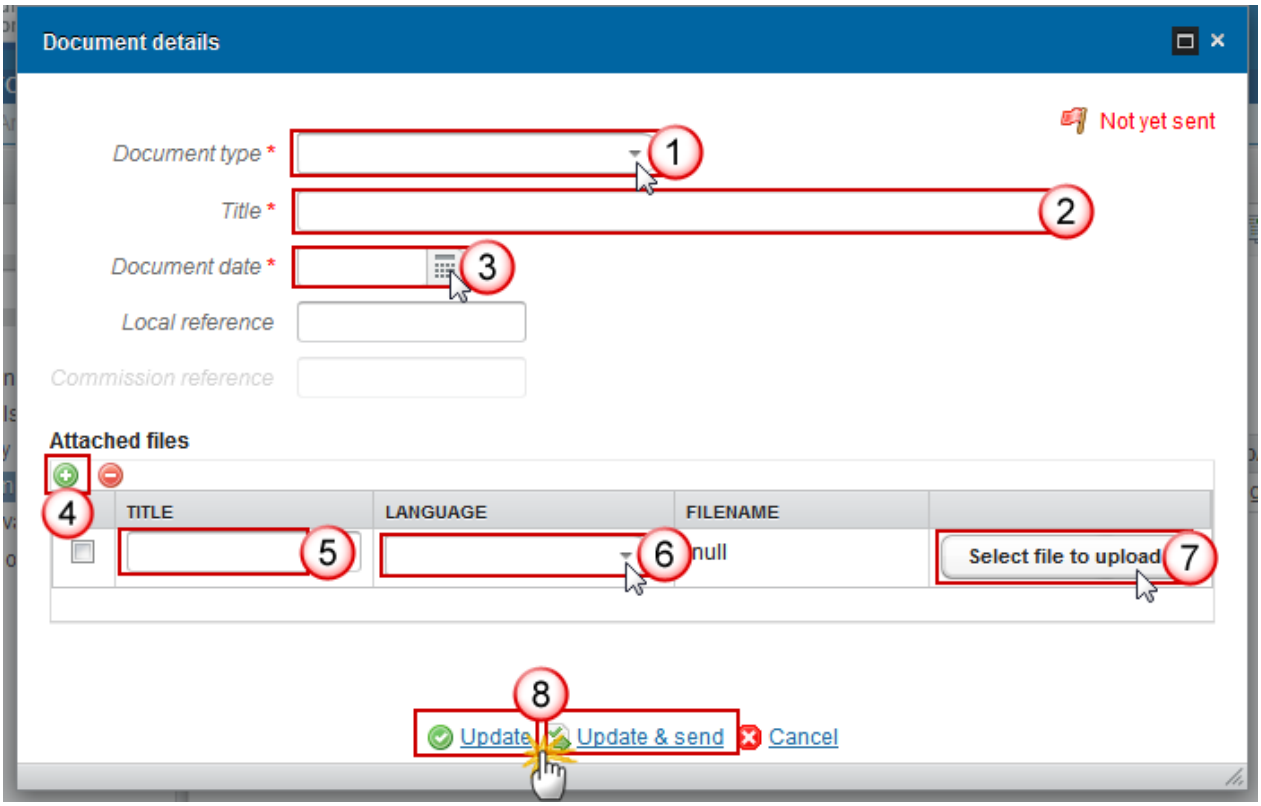
- Clicking on the **ADD** button will open a pop-up window allowing you to add a new document type with attachments.
- Selecting a document row and click on the **EDIT** button will allow you to modify the document information. If a document of type 'Other Control Statistics documents' must be sent, you can select the edit button in order to send the document.
- Selecting a row of a previously uploaded document and click on the **REMOVE** button to delete the document and associated attachments.



1. Click on the **ADD** button to add a new document.



The document detail pop-up window appears:



2. Enter or select the following information:

(1) Select a *Document Type*

(2) Enter a *Title* for your Document

(3) Enter a *Document Date*

(4) Click on the **ADD** button to add a new attachment

- You can add multiple attachments by clicking on the **ADD** button
- You can remove unwanted attachments by selecting the attachment and clicking on the **REMOVE** button

(5) Enter a *Title* for your attachment.

(6) Select the *Language* of the document.

(7) Select the *file* to upload.

(8) Click on Update to save the information or Update & Send to send the document to the Commission.

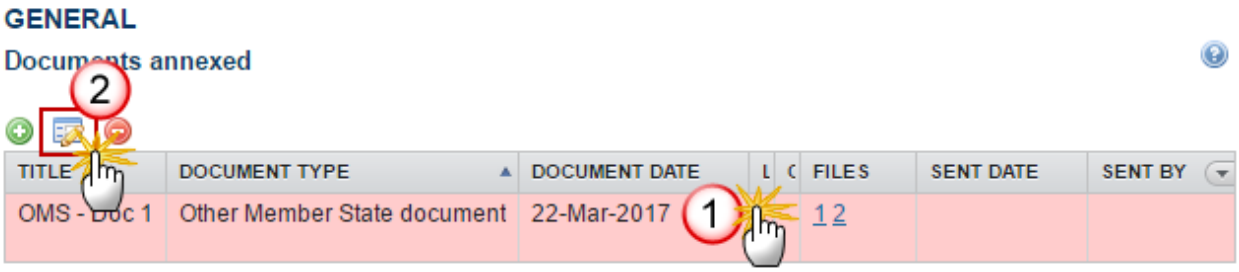
REMARK	Commission Reference N° is only enabled for Commission Users, while Local Reference is only enabled for Member State Users.

	The email of User who sent the Document is directly accessible via the 'Sent By' link.

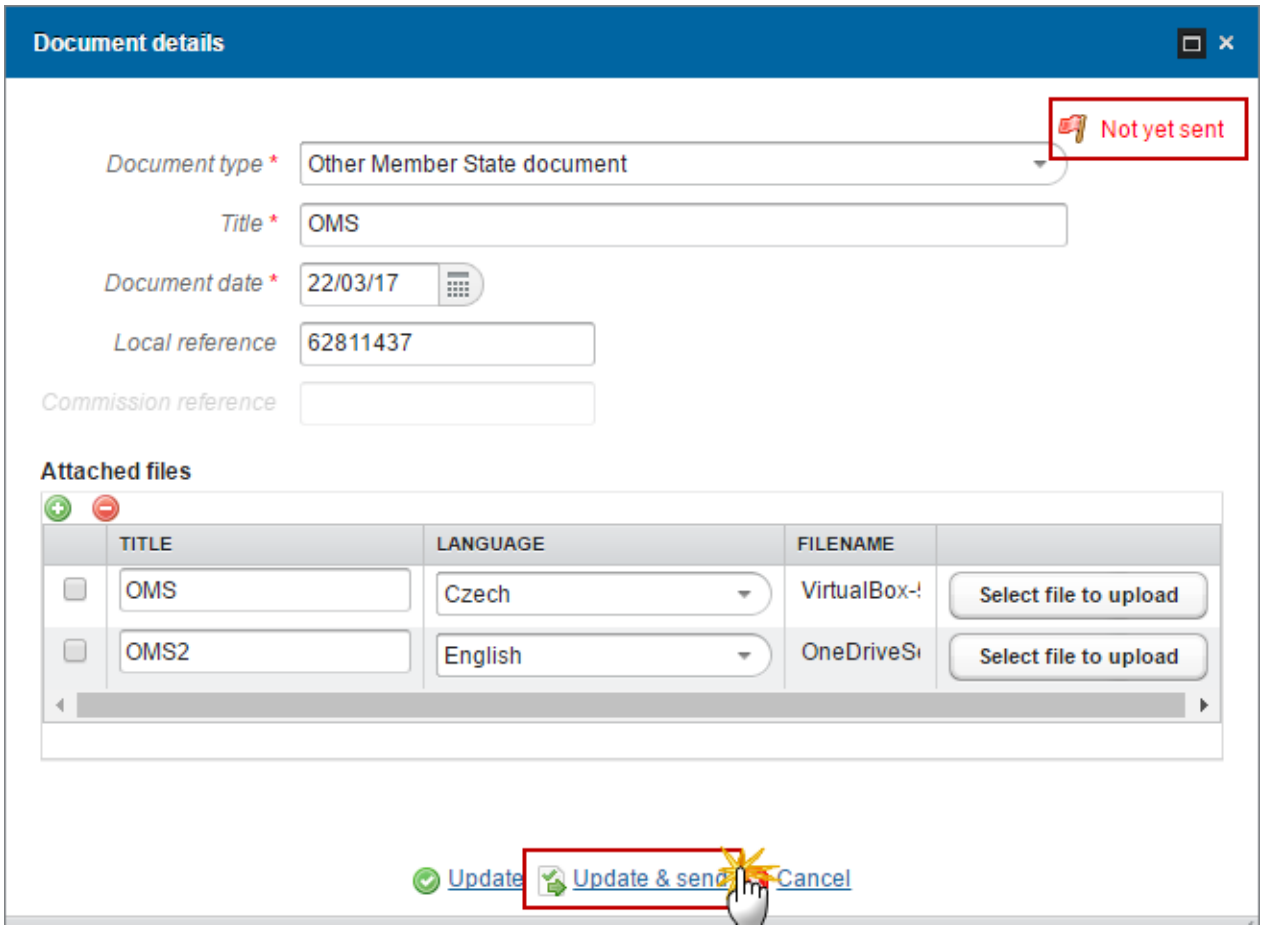
The pop-up window closes and the documents are uploaded.

Sending an unsent non-integral document

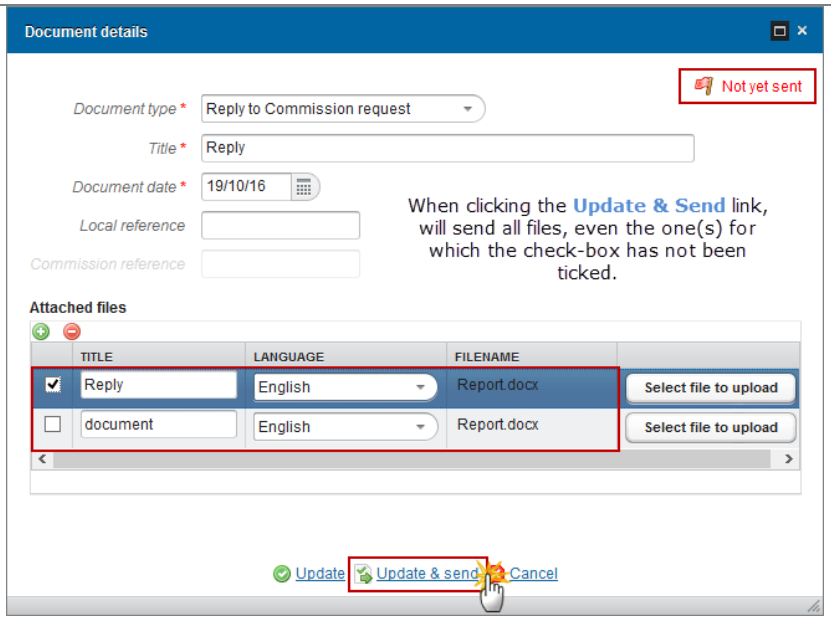
1. Once the document and attachment(s) have been uploaded select the document row in the list **(1)** and click on the **EDIT** button **(2)**



2. Click on **Update & Send** to send the document to the Commission.



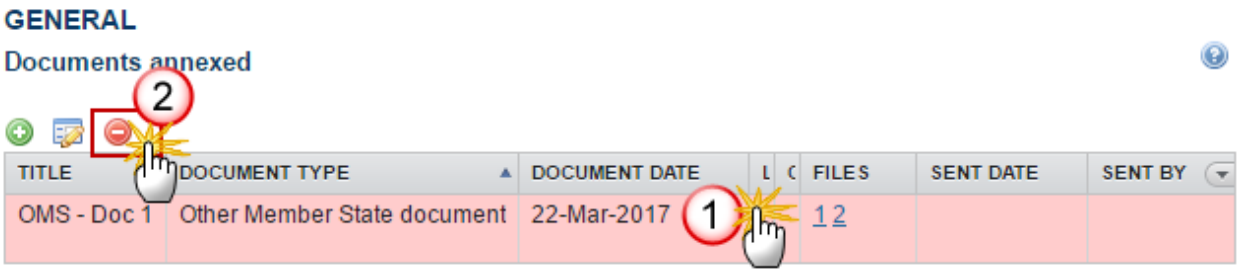
NOTE	The **Update & Send** link will only be shown for documents which are not integral part of the Object and after at least one attachment was added. If more than one file are uploaded from the same document table, when clicking the **Update & Send** link, will send all the files and not only the one(s) for which the check-box has been ticked.



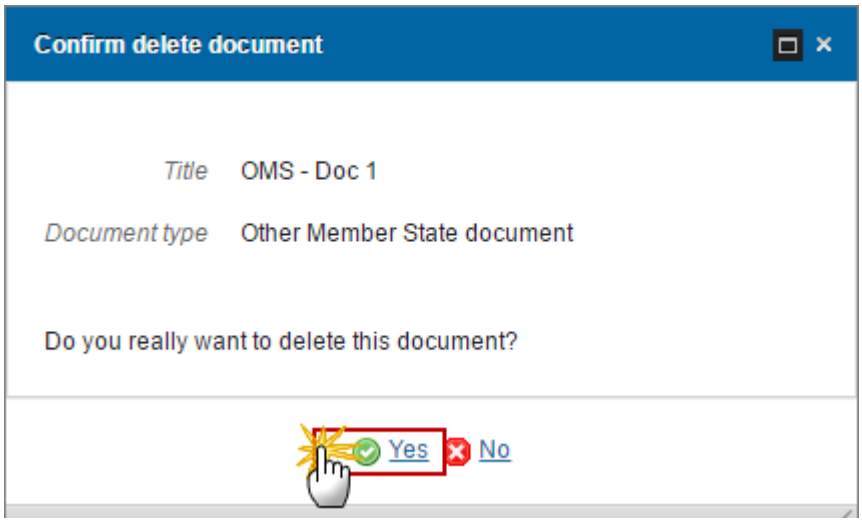
REMARK	**Non-integral documents** (ie. 'Others Control and Statistics Documents (non-integral)') can be sent at any time independently of the status of the CDS. Non-integral document type demands a manual submission (they are NOT sent automatically within the Programme). The other document types, integral documents, are automatically sent - together with the encoded data – when the Programme is submitted to the EC. You can find in our Portal the types of documents that can be uploaded and sent by the Member State. A document is only visible to the Commission when the **Sent Date** is visible.

Deletion of an unsent document

1. Select a row **(1)** of a previously uploaded document and click on the **REMOVE** button **(2)** to delete the document and associated attachments.



A confirmation window appears:

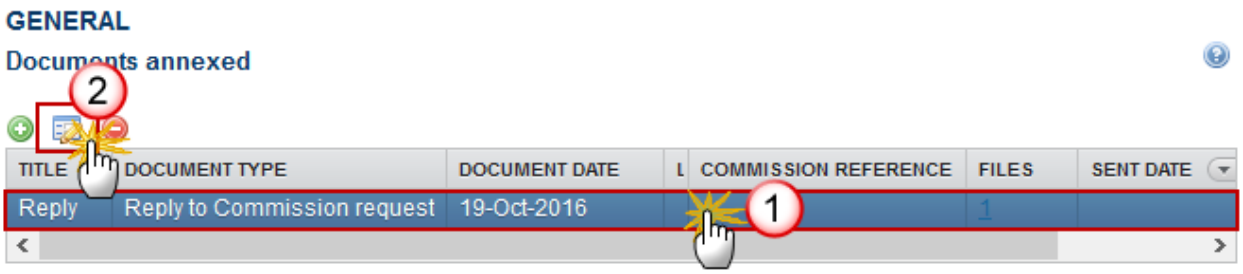


2. Click on Yes to confirm deletion. Click on No to return to the CDS.

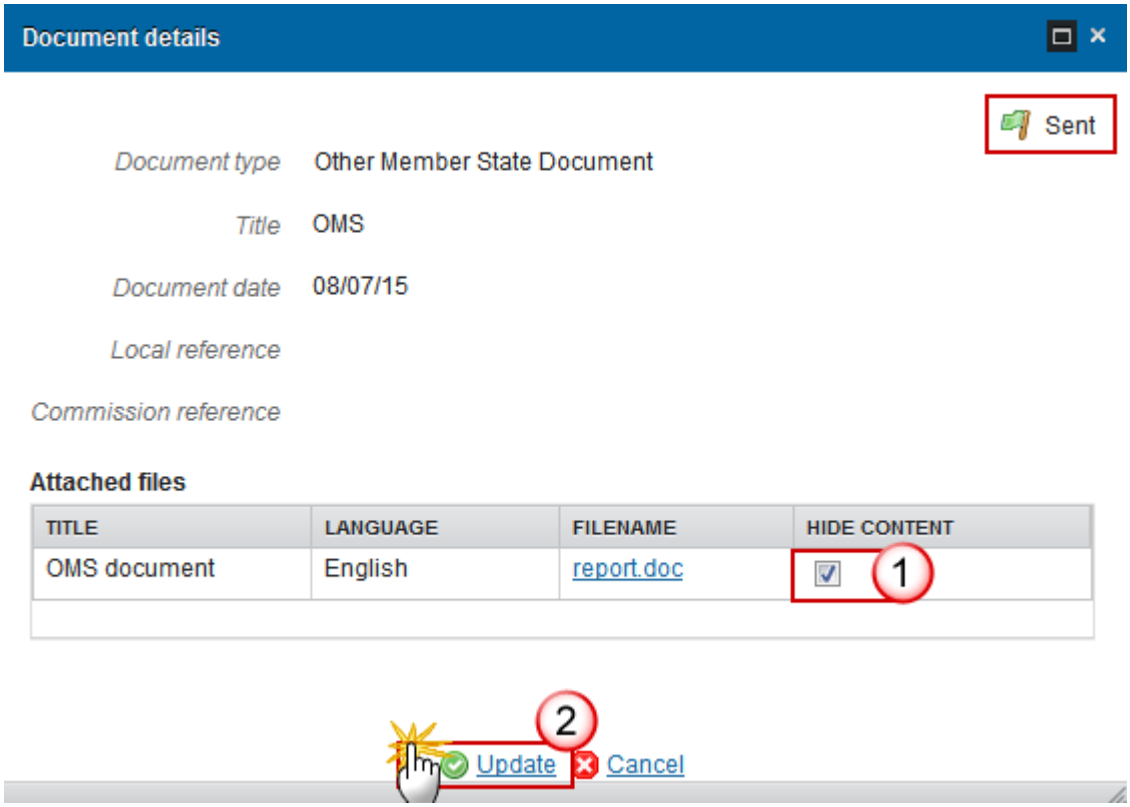
Hiding a sent document

NOTE	Sent Documents can never be deleted, but the sender can decide to hide the content for the receivers in case of an erroneous and/or accidental send. Only the creator can hide an attachment.

1. Select a row **(1)** of a previously sent document and click on the Edit button **(2)** to hide the document and associated attachments.

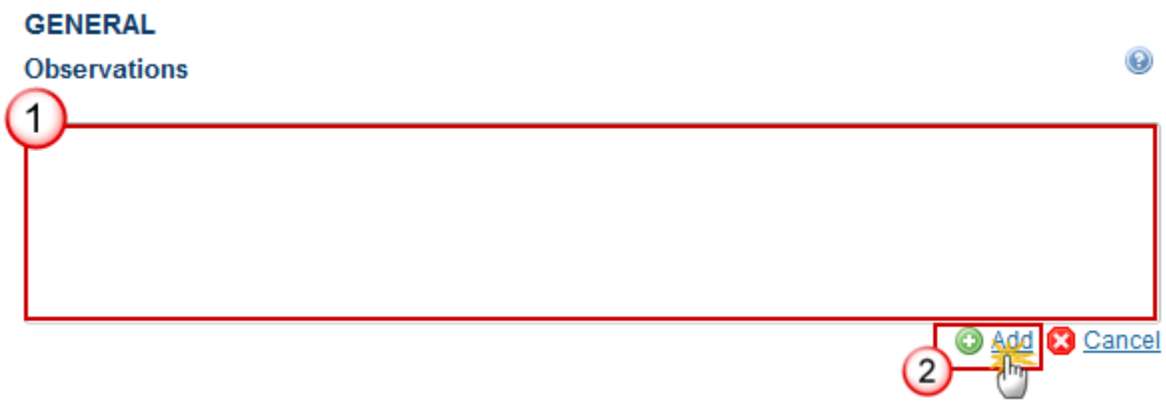


2. Select the **HIDE CONTENT (1)** option and click on **Update (2)** to hide the document.



Observations

This section is used to provide any relevant information to the CDS. It can be used as a type of 'chat' between the Member State and Commission.



(1) Enter an observation.

All users who have Read and Observation permission on the CDS will be able to send an Observation and participate in the conversation.

(2) Click on Add to save the information.

All Observations are kept against the specific version of the CDS.

Control Data and Control Statistics

Control Data and Control Statistics – Art 9(1) of Reg. N° 809/2014

This section should display an overview of the documents:

- Documents uploaded in the current version;
- Documents sent in the previous version(s);
- Documents not yet uploaded/sent (expected documents are in bold).

REMARK	Documents list shows all documents of type CDS uploaded against this version of the CDS by Member State. This document doesn't include the Document of the section 'General>Documents'.

The following document types will be foreseen in this section:

Uploaded by: MS Paying Agency or MS Coordination Body

Submitted by: MS Coordination Body

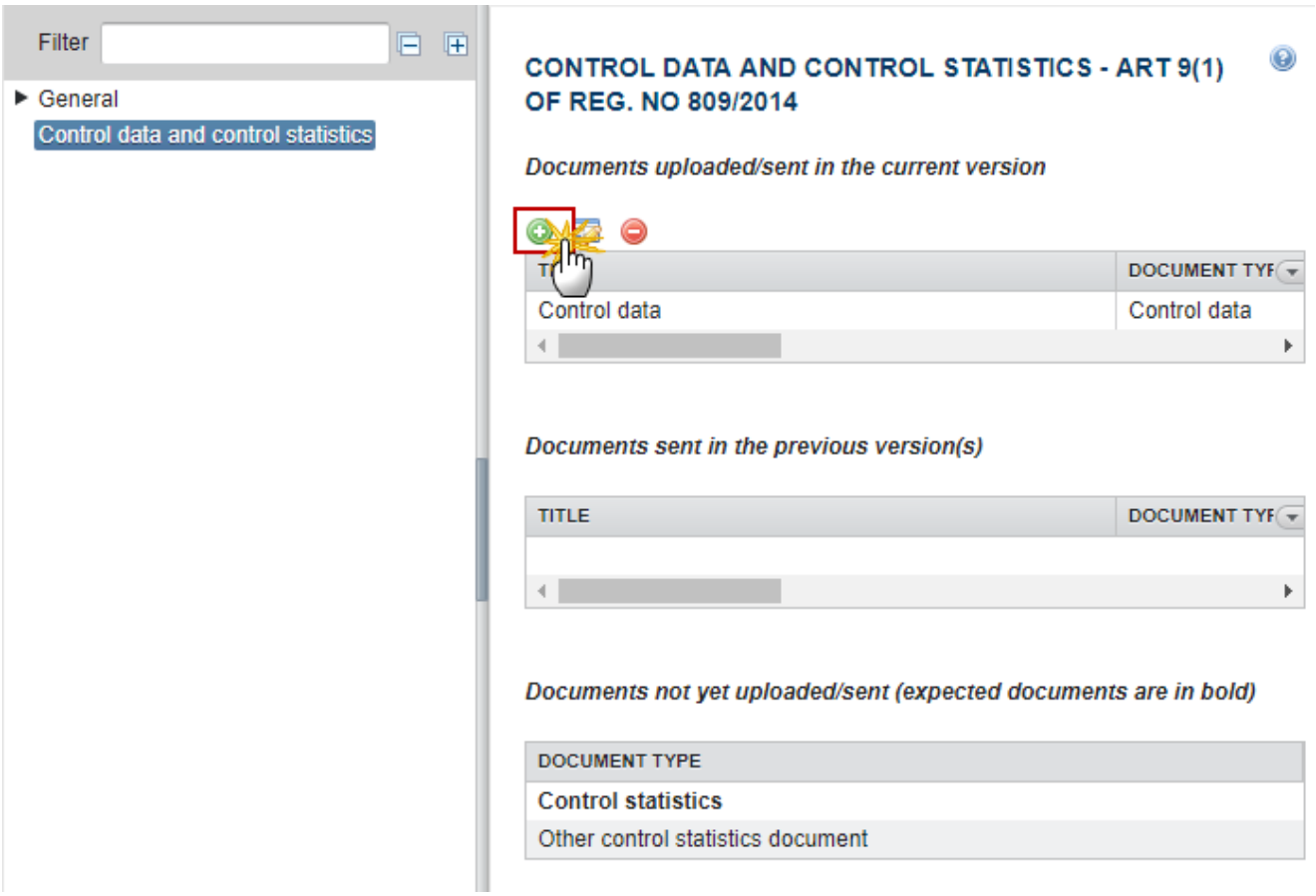
Read by: MS Paying Agency / MS Coordination Body / MS Certification Body / MS Managing Authority

Description	Legal base	Integral	System	Required	Structured	Validated	Pers. Data*	Registered
Control data	Art 9(1) of Reg. No 809/2014	Y	N	Y	Y	Y	Y	N
Control Statistics		Y	N	Y	Y	Y	N	N
Others Control Statistics Documents		Y	N	N	N	N	N	Y
Others Control Statistics Documents (non-integral)		N	N	N	N	N	N	Y

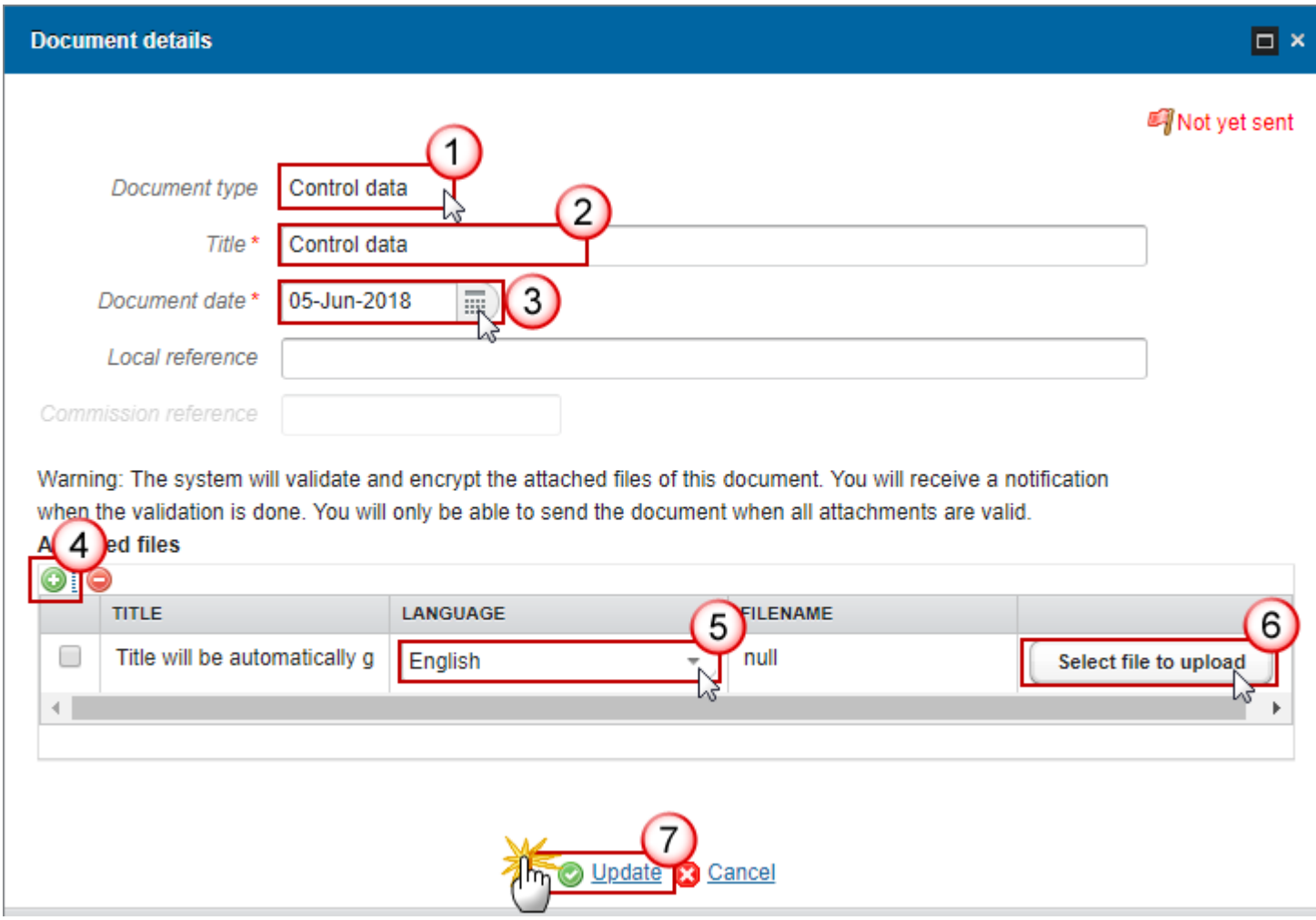
*For documents with personal data, the attachments files are encrypted and it is needed the role of 'MS Audit Personal Data Read'.

REMARK	It is a must to have the role of **MS Paying Agency or MS Coordination Body Update**.

1. Clicking on the **ADD** button will open a pop-up window allowing you to submit the information on CDS.



The Document Details pop-up window appears.



(1) Select a Document Type

Control Data, Control Statistics, Other Control Statistics document & Other Control Statistics document (non-integral).

(2) Enter a Title for your Document

(3) Enter a Document Date

Document title (document type), and the date (today date) are automatically filled by the system but can be changed afterwards by you.

(4) Click on the **ADD** button to add a new attachment

- You can add multiple attachments by clicking on the **ADD** button
- You can remove unwanted attachments by selecting the attachment and clicking on the **REMOVE** button

(5) Select the Language of the document.

Language list box is prefilled with your interface language, you can change it afterwards.

(6) Select the file to upload.

(7) Click on **Update** to save the information.

REMARK	For each attachment file, **Title** will be automatically filled by the system once the file persisted (button 'Update'). The attachment Title will be based on the following pattern: Version – Work Version – PA code – Doc Type – sequence – WCSV version: Ex: 2017.02_FR19_CDS.OT_005 The system automatically fills the filename from the uploaded file.

On success, the documents metadata and its attachments are stored in the SFC database. For documents with personal data, the attachment files are encrypted (see column 'Personal Data').

REMARK	In order to consult/download the document set as containing personal data, it's a must to have the role 'Audit Personal Data read'.

Validate Control Data and Control Statistics documents (WinCheckCSV)

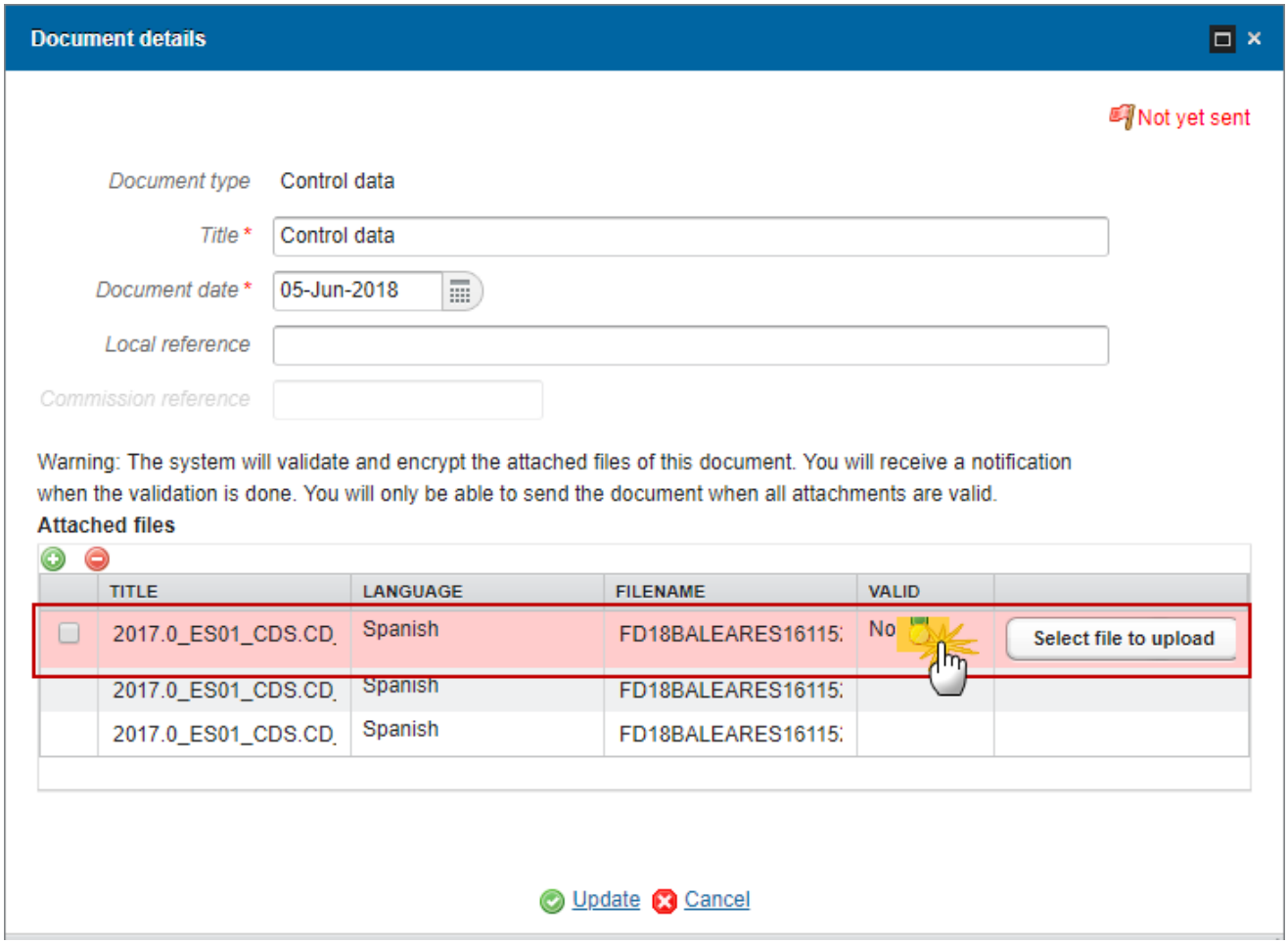
You can validate the CDS when the required documents have been uploaded in the application. The following document types are mandatory:

Control Data and **Control Statistics Model**.

REMARK	It is a must to have the roles of **MS Paying Agency or MS Coordination body**. These documents can be validated only if an Attachment of a Document Type with the Validate attribute set to true is uploaded, the document validation method will be called and will perform the necessary validations **on the content of that attachment**. As the validation process will be asynchronous, it will generate an event to notify the user who has uploaded the attachment that it finished validation. When validation failed because of a wrong content, you must be able to re-upload the file.

When you select a document type that required WinCheckCSV validation, the system displays a warning sentence above the attachment table: *'The system will validate and encrypt the attached files of this document. You will receive a notification when the validation is done. You will only be able to send the document when all attachments are valid'.*

Example of upload document pop-up window:



The "Select file to re-upload" button and the "Re-validate" button will only be shown on **invalid** attachments.

The validation method will return success or failure and generate one or two files: a user friendly output report with the results of the validation and the output log. These two documents will be persisted as Attachments under the same Document and their Document Attachment is valid it will be set to yes, otherwise it will be set to No.

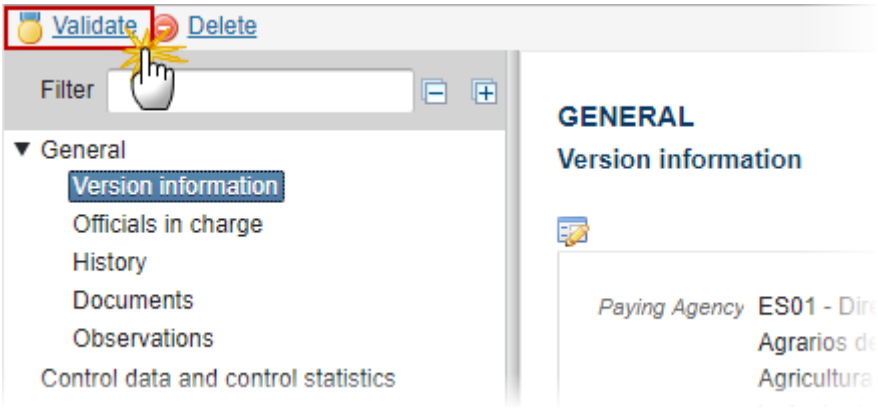
REMARK	Column 'Valid' displays: • if all attachments are valid =Y

	• if at least one attachment is not valid = N • if files currently under asynchronous validation = P • if the document doesn't required validation = NA By default Tables should be sorted by CDS version, document type and document name.

Validate the CDS

REMARK	The CDS can be validated only if its status is **'OPEN'.** It is a must to have the role of **MS Paying Agency or MS Coordination Body Update.**

1. Click on the Validate link to validate the CDS.



REMARK	An **ERROR** will block you from sending the CDS. The error(s) should be resolved and the CDS must be revalidated. **NOTE** that a **WARNING** does not block you from sending it.

The system validates the following information:

Code	Validation Rule	Severity
	The system validates the integrity of the input fields	

CDS_010	Validate that at least one Official in Charge of the Member State exists	ERROR
CDS_020	Validate that the Control Data and Control Statistics Paying Agency code is valid.	ERROR
CDS_030	Validate that all integral documents have at least one attachment with a length > 0	ERROR
CDS_040	Validate that all documents that required validation have been successfully validated (= all attachments of the document are valid)	ERROR
CDS_050	Validate that all mandatory documents have been uploaded or already sent in a previous Control Data and Control Statistics version	WARNING

After all errors have been resolved the status of the CDS becomes **READY TO SEND**.

Example of validation window:

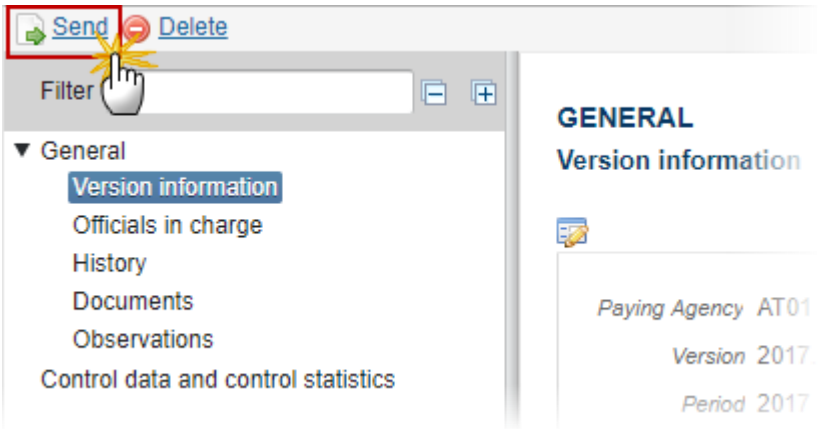
Latest validation results

SEVERITY	CODE	MESSAGE
Info		Control data and statistics version has been validated.
Warning	50	Not all mandatory documents have been uploaded or have been sent in a previous version

Send the CDS

REMARK	The CDS can only be sent once the **Validation Errors** have been removed and the status is '**READY TO SEND**'. It is a must to have the privilege to send the CDS, the user has the role **MS Coordination Body Send** in order to send it to EC. To send the CDS to an upper MS Node it is also valid **MS Paying Agency Send.** The "**4 eye principle**" must be respected. Therefore, the user sending must be different from the user who last validated. The **Sending** of information by a Member State to the Commission should be **electronically signed**. Sending of the different objects is generating a snapshot document and after the sending an acknowledge document is generated by the European Commission.

1. Click on the Send link to send the CDS to the Commission.

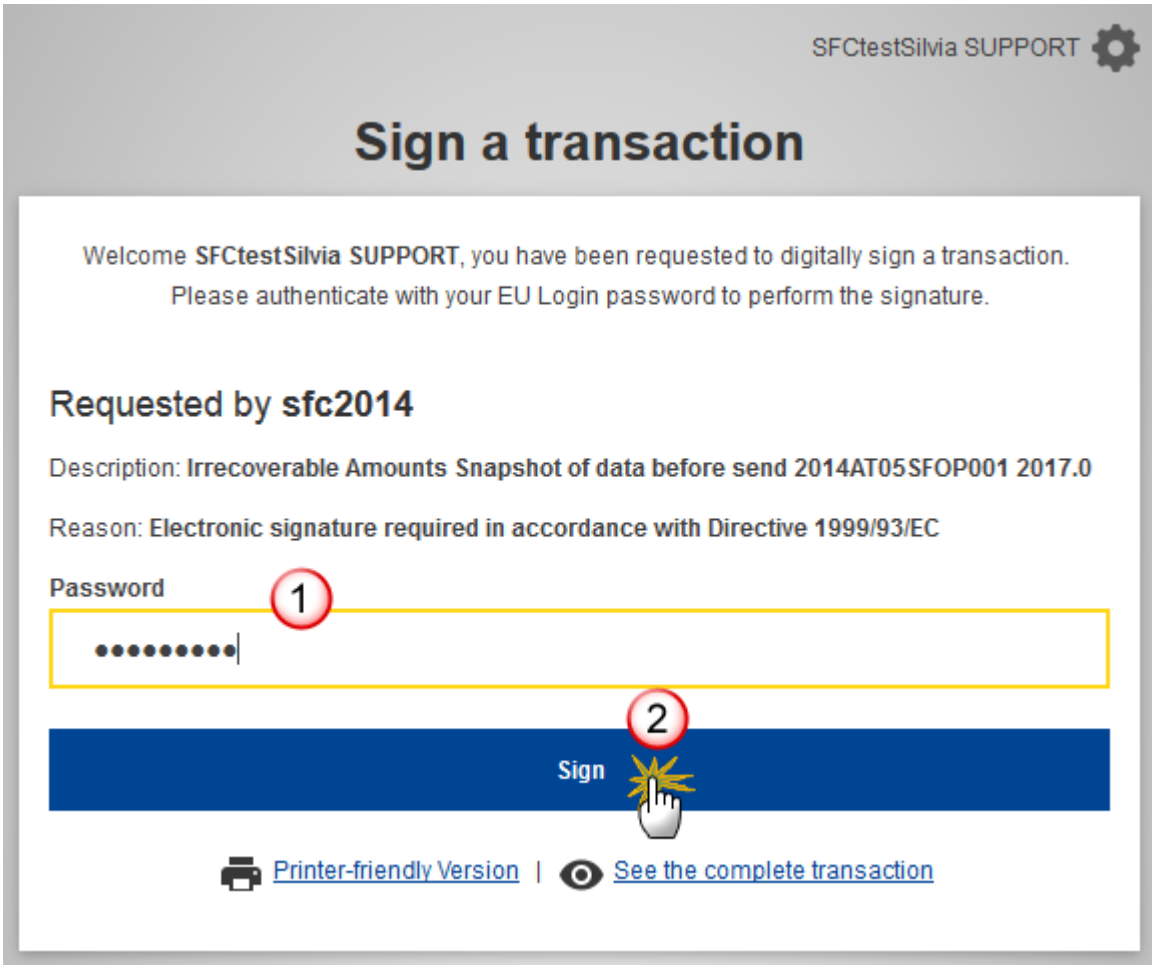


The system will ask you to confirm the send action:

2. Click on Yes to confirm or click on No to return to CDS.
3. The Sending of information by a Member State to the Commission should be electronically signed.

Sending of the different objects is generating a snapshot document and after the sending an acknowledge document is generated by the European Commission.

This acknowledge document is signed but the Member State was not signing the snapshot document. The EU Login now provides a functionality of signing without forcing the user to have a certificate. The action to sign will only be triggered when sending to the European Commission:



(1) Enter your SFC2014 Password
(2) Click on the 'Sign' button

On success, the CDS version has been sent to the Commission. When sent, the status is set to '**SENT**'.

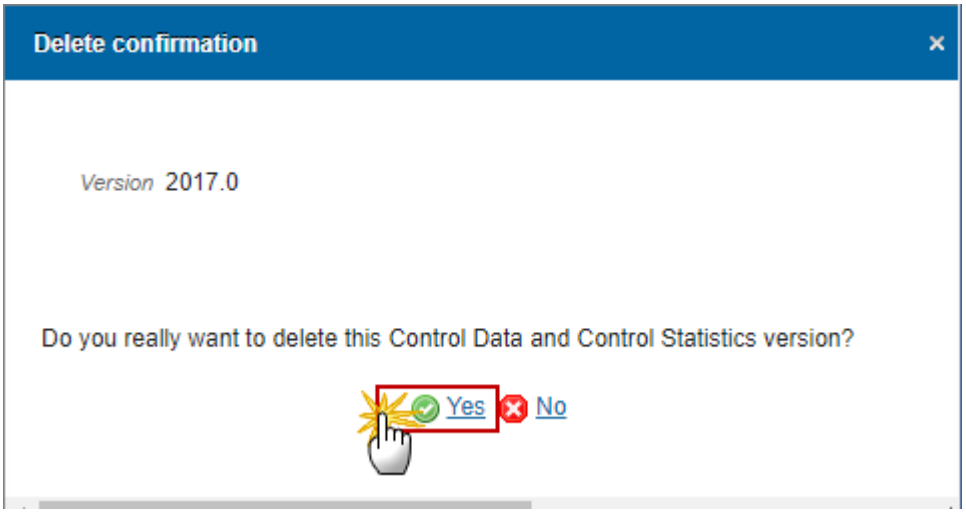
Delete the CDS

REMARK	It is a must to have the privilege to delete the CDS, the user has the role of **MS Paying Agency or MS Coordination Body.** The CDS can only be deleted when the status is **OPEN** and has **no sent documents attached to the Commission**.

	The delete is a physical delete from the system.

1. Click on the **Delete** link to remove the CDS from the system.

The system will ask you to confirm the delete action:



2. Click on **Yes** to confirm or click on **No** to the CDS.

Return CDS for Modification

If you want to return a CDS sent to an upper node because it is incomplete or incorrect and needs to be modified.

REMARK	It is a must to have the privilege to return the CDS, **only the user with the role of MS Paying Agency Update or MS Coordination Body Update can return it.** To return the CDS, it is a must that currently resides at your node and has a status **'SENT', 'OPEN', 'READY TO SEND'**, **'RETURNED FOR MODIFICATION BY MS'** **when a lower level exists**.

1. Click on the **Return for Modification** link to return the CDS to a lower node.

The Return for Modification confirmation pop-up window appears.

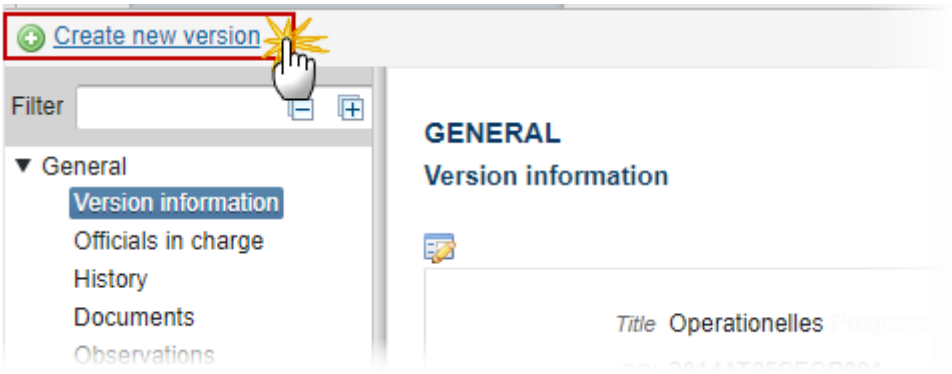
2. Complete the Reason for return, title & date and click on the **'Yes'** button to confirm the action.

On success, the CDS version has been set in status **'RETURNED FOR MODIFICATION BY MS'.**

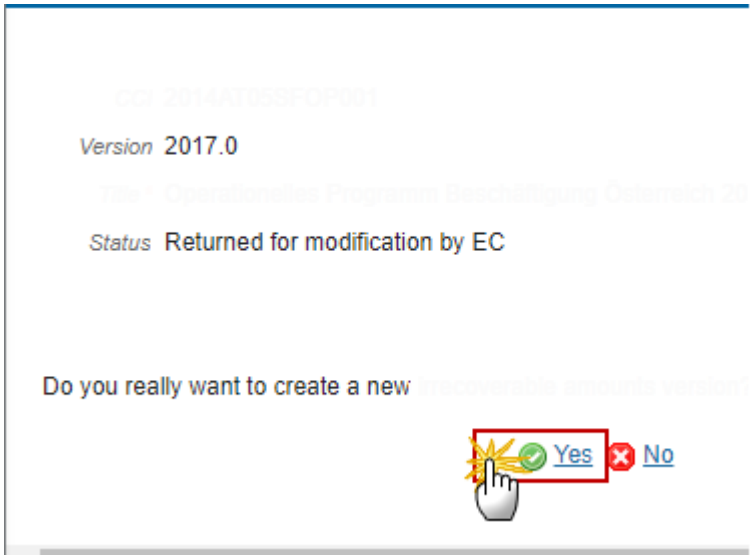
Create a New Version of the CDS

REMARK	It is a must to have the privilege to create a new version of the CDS, **only the user with the role of MS Paying Agency Update or MS Coordination Body Update can create it.** A New Version of the CDS can only be created when the last version was **'RETURNED FOR MODIFICATION BY EC' OR 'SENT (TO EC)'.**

1. Click on the **Create New Version** link to create a new version of the CDS.



The system will ask you to confirm the creation of a new version.



2. Click on Yes to confirm. Click on No to return to the CDS.

On success, a new version of the CDS has been created as a copy of the previous version, with a version number incremented by one. Its status was set to **'OPEN'**.