

## *Description of Management and Control System*

### **ANNEX 2**

#### **DATA TO BE REGISTERED AND ARCHIVED BY THE MANAGEMENT AND INFORMATION SYSTEM (MIS)**

Main source: TESIM Guide on MIS - Annex A1: check-list for content of MIS

| <b>1. Data related to applicants/beneficiaries.</b> The system registers and keeps the following data: |   |                             |                     |
|--|---|-----------------------------|---------------------|
| <b>Code</b>  | <b>Description</b>  | <b>Source</b>               | <b>Used in KEEP</b> |
| 1.1  | Univocal identification of organisation (VAT number, registration number or equivalent) | (National reg num in Eform) |                     |
| 1.2  | Organisation name in English  | Eform                       | KEEP                |
| 1.3  | Organisation name in original language  | Eform                       | KEEP                |
| 1.4  | Department/Unit/Division  | Eform                       | KEEP                |
| 1.5  | Legal status and type of Org  | Eform                       | KEEP                |
| 1.6  | Country   | Eform                       | KEEP                |
| 1.7  | Town  | Eform                       | KEEP                |
| 1.8  | Street  | Eform                       | KEEP                |
| 1.9  | Post code   | Eform                       | KEEP                |
| 1.10   | Nuts 3 code or equivalent   | (Region in Eform)           | KEEP                |
| 1.11   | Name of the legal representative (name and surname)                                     | Eform                       |                     |
| 1.12   | Contact person (first name)   | Eform                       | KEEP                |
| 1.13   | Contact person (last name)  | Eform                       | KEEP                |
| 1.14   | e-mail (preferably the one of the organisation)   | Eform                       | KEEP                |

|      |  |       |      |
|------|--|-------|------|
| 1.15 | URL of organisation  | Eform | KEEP |
| 1.16 | VAT status (recoverable or not)                            | Eform |      |
| 1.18 | Type of partner (lead/standard partner/associated partner) | Eform | KEEP |

## 2. Data related to calls for proposals.

| Code | Description                           | Source                 | Used in<br>KEEP |
|------|---------------------------------------|------------------------|-----------------|
| 2.1  | Serial number of call or direct award | Ref_Number in<br>eform | KEEP            |
| 2.2  | Start date of the call                | MIS                    | KEEP            |
| 2.3  | End date of the call                  | MIS                    | KEEP            |
| 2.4  | Budget of the call (EU funding)       | MIS                    | KEEP            |
| 2.5  | Committed EU funding after award      | MIS                    |                 |

| 3. Data related to proposals submitted. |  |                     |                             |
|---|--|---------------------|-----------------------------|
| Code                                    | Description  | Source              | Used in KEEP                |
| 3.1.                                    | Serial number of call or direct award  | Ref_Number in eform | (using codes in section #2) |
| 3.2                                     | Univocal identification of proposal  | Ref_Number in eform |                             |
| 3.3                                     | Project acronym  | Eform               | KEEP                        |
| 3.5                                     | Project name in English or French  | Eform               | KEEP                        |
| 3.6                                     | Total budget of the proposal   | Eform               |                             |
| 3.7                                     | Total EU funding requested   | Eform               |                             |
| 3.8                                     | Thematic objective   | Eform               | KEEP                        |
| 3.9                                     | Programme priority   | Eform               | KEEP                        |
| 3.11                                    | Univocal identification of the lead applicant and partners   | Eform               | (using codes in section #1) |
| 3.12                                    | Proposal and annexes (on-line application or uploaded files)   | Eform               |                             |
| 3.13                                    | Supporting documents for eligibility (uploaded)  | Eform               |                             |
| 3.14                                    | Self-assessment on State Aid (on-line or uploaded document)  | Eform               |                             |
| 3.17                                    | Evaluation grid (on-line assessment or uploaded files), including recommendations by Project Selection Committee | Eform               |                             |

| 4. Data related to operations. |  |                     |                             |
|--------------------------------|--|---------------------|-----------------------------|
| Code                           | Description  | Source              | Used in KEEP                |
| 4.1                            | Univocal identification of project   | Ref_Number in eform | (using codes in section #3) |
| 4.2                            | Univocal identification of the lead beneficiary and beneficiaries                            | Eform               | (using codes in section #1) |
| 4.3                            | Documents related to contracting (check on budget, correspondence with lead applicant, etc.) | MIS                 |                             |
| 4.4                            | Grant contract and annexes (on-line and/or uploaded files)                                   | MIS                 |                             |
| 4.5                            | Date of signature of contract and start of implementation period                             | MIS                 | KEEP                        |
| 4.6                            | Date of end of implementation period (including extensions)                                  | MIS                 | KEEP                        |
| 4.8                            | Project description in English or French   | MIS                 | KEEP                        |
| 4.9                            | Project expected results   | MIS                 | KEEP                        |
| 4.10                           | Project expected outputs   | MIS                 | KEEP                        |
| 4.11                           | Large Infrastructure Project (Y/N) (Art. 2 (p) of ENI CBC IR)                                | MIS                 |                             |
| 4.13                           | Cost of infrastructure component   | MIS                 | KEEP                        |
| 4.14                           | State Aid relevant activities in project (Y/N)   | MIS                 |                             |
| 4.15                           | State aid assessment documents and conditions implementation (on-line or uploaded documents) | MIS                 |                             |
| 4.16                           | Amount of expenditure in State Aid Relevant activities by beneficiary                        | MIS                 |                             |
| 4.17                           | Total amount of eligible expenditure in budget in force                                      | MIS                 | KEEP                        |
| 4.18                           | Total amount of EU grant in budget in force  | MIS                 | KEEP                        |
| 4.19                           | Total amount of other sources of funding   | MIS                 |                             |
| 4.24                           | Amount of expenditure in budget per beneficiary  | MIS                 | KEEP                        |
| 4.25                           | Amount of EU grant per beneficiary   | MIS                 | KEEP                        |
| 4.26                           | Name of auditor for each beneficiary and identification in short/long list, if relevant      | MIS                 |                             |
| 4.27                           | Contracts between beneficiaries and auditors (uploaded documents)                            | MIS                 |                             |
| 4.28                           | URL of project web-site  | MIS                 | KEEP                        |

|      |                                  |     |      |
|------|----------------------------------|-----|------|
| 4.29 | Project status (on-going/closed) | MIS | KEEP |
|------|----------------------------------|-----|------|

#### 5. Data related to indicators.

| Code | Description  | Source              | Used in<br>KEEP             |
|------|--|---------------------|-----------------------------|
| 5.1  | Univocal identification of project                                       | Ref_Number in eform | (using codes in section #3) |
| 5.2  | Name and univocal identification of Result Indicators (RI)               | MIS                 |                             |
| 5.3  | Measure unit for RI  | MIS                 |                             |
| 5.4  | Baseline at programme level for RI                                       | MIS                 |                             |
| 5.5  | Target at programme level for RI   | MIS                 |                             |
| 5.6  | Actual value RI at specific reference dates                              | MIS                 |                             |
| 5.7  | Name and univocal identification of Common Output Indicators (COI)       | MIS                 |                             |
| 5.8  | Measure unit for COI   | MIS                 |                             |
| 5.9  | Baseline in JOP for COI  | MIS                 |                             |
| 5.10 | Target at programme level for COI  | MIS                 |                             |
| 5.11 | Target at project level for COI  | MIS                 |                             |
| 5.12 | Actual value of COI at project level at specific reference dates         | MIS                 |                             |
| 5.13 | Name and univocal identification of Programme Specific Indicators (PMSI) | MIS                 |                             |
| 5.14 | Measure unit for PMSI  | MIS                 |                             |
| 5.15 | Baseline in JOP for PMSI   | MIS                 |                             |
| 5.16 | Target at programme level for PMSI                                       | MIS                 |                             |
| 5.17 | Target at project level for PMSI   | MIS                 |                             |
| 5.18 | Actual value of PMSI at project level at specific reference dates        | MIS                 |                             |

| 6. Data related to payment claims by beneficiaries. |   |                     |                             |
|---|---|---------------------|-----------------------------|
| Code  | Description   | Source              | Used in KEEP                |
| 6.1   | Univocal identification of project  | Ref_Number in eform | (using codes in section #3) |
| 6.2   | Date of initial pre-financing   | MIS                 |                             |
| 6.3   | Amount of initial pre-financing   | MIS                 |                             |
| 6.4   | Date of submission of payment request (interim of final)  | MIS                 |                             |
| 6.5   | Narrative and financial report and Expenditure Verification Report (interim of final) (on-line or uploaded documents) | MIS                 |                             |
| 6.6   | Assessment by JTS/MA (on-line or uploaded document)   | MIS                 |                             |
| 6.7   | Amount of eligible expenditure declared in submission   | MIS                 |                             |
| 6.8   | Date of conformity for payment  | MIS                 |                             |
| 6.9   | Date of suspension of payment due to request of clarifications  | MIS                 |                             |
| 6.10  | Correspondence on clarifications with Lead Beneficiary  | MIS                 |                             |
| 6.11  | Date of submission of answers on clarifications by lead beneficiary   | MIS                 |                             |
| 6.12  | Correspondence on clarifications with Control Contact Point (CCP)   | MIS                 |                             |
| 6.13  | Amount of accepted expenditure per claim  | MIS                 |                             |
| 6.14  | EU grant per beneficiary per claim  | MIS                 |                             |
| 6.15  | Amount of each interim pre-financing  | MIS                 |                             |
| 6.16  | Amount of final payment   | MIS                 |                             |
| 6.17  | Delivered outputs   | MIS                 | KEEP                        |
| 6.19  | Project achievements at the end of the project in English or French   | MIS                 | KEEP                        |

| <b>7. Data related to payment claims by programme to EC.</b> |   |               |                         |
|--|---|---------------|-------------------------|
| <b>Code</b>  | <b>Description</b>  | <b>Source</b> | <b>Used in<br/>KEEP</b> |
| 7.1  | Date of notification of annual commitment (art. 60 of ENI CBC IR)           | MIS           |                         |
| 7.2  | Amount of annual commitment per year  | MIS           |                         |
| 7.3  | Date of submission of pre-financing payment request                         | MIS           |                         |
| 7.4  | Supporting documents for pre-financing payment request (uploaded documents) | MIS           |                         |
| 7.5  | Amount of pre-financing requested   | MIS           |                         |
| 7.6  | Date of submission of annual report (art. 68 of ENI CBC IR)                 | MIS           |                         |
| 7.7  | Annual report and annexes (uploaded documents)                              | MIS           |                         |
| 7.8  | Amount accepted expenditure of Technical Assistance certified by AA         | MIS           |                         |
| 7.9  | Amount of accepted expenditure from projects certified by AA                | MIS           |                         |
| 7.10   | Amount of annual EU allocation based on declared and certified expenditure  | MIS           |                         |

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| <b>8. Data related to financial corrections and recoveries</b> |
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| Code | Description  | Source                             | Used in KEEP  |
|------|--|------------------------------------|---|
| 8.1  | Univocal identification of beneficiary(ies) or programme body(ies) subject to a financial correction   | (National reg num in Eform) or MIS | (using codes in section #1 in case of beneficiaries ) |
| 8.2  | Univocal identification of project   | Ref_Number in eform                | (using codes in section #3)                           |
| 8.3. | Date of provisional decision on financial correction by Managing Authority (art. 71 of ENI CBC IR)   | MIS                                |   |
| 8.4  | Date of provisional decision on financial correction by Managing Authority (art. 72 of ENI CBC IR)   | MIS                                |   |
| 8.5  | Supporting documents for provisional decision  | MIS                                |   |
| 8.6  | Provisional amount of financial correction   | MIS                                |   |
| 8.7  | Type of financial correction by MA (individual/systemic) (art. 72 of ENI CBC IR)   | MIS                                |   |
| 8.8  | Type of financial correction by EC (individual related to projects/breach of obligation by MA/systemic due to serious deficiency in management and control system) (art. 74 of ENI CBC IR) | MIS                                |   |
| 8.9  | Method of calculation of financial correction (known amount/flat rate/extrapolated)  | MIS                                |   |
| 8.10 | Correspondence with concerned beneficiary(ies) or programme body(ies) (contradictory procedures) (uploaded documents)  | MIS                                |   |
| 8.11 | Final amount of financial correction   | MIS                                |   |
| 8.12 | Date of issue of recovery order  | MIS                                |   |
| 8.13 | Recovery order (on-line or uploaded document)  | MIS                                |   |
| 8.14 | Date of payment by concerned beneficiary(ies) or programme body(ies) in non-contentious case   | MIS                                |   |
| 8.15 | Date decision by MA of qualification as contentious case   | MIS                                |   |
| 8.16 | Documentation and correspondence of the contentious recovery   | MIS                                |   |
| 8.17 | Date of payment by concerned beneficiary(ies) or programme body(ies) in contentious case   | MIS                                |   |
| 8.18 | Date decision by MA of qualification as unsuccessful case  | MIS                                |   |



|      |  |     |  |
|------|--|-----|--|
| 8.19 | Documentation and correspondence of the unsuccessful recovery  | MIS |  |
| 8.20 | Date of payment by country of concerned beneficiary(ies) or programme body(ies)  | MIS |  |
| 8.21 | Date of communication of unsuccessful recovery to EC in case of beneficiaries in CBC partner countries not covered by liability in Financing Agreement | MIS |  |
| 8.22 | Date of waiving decision by JMC  | MIS |  |
| 8.23 | Supporting documents for waiving decision (uploaded)   | MIS |  |
| 8.24 | Amount of recovery waived  | MIS |  |

| 9. Data related to on-the-spot checks. |   |                                    |                             |
|--|---|------------------------------------|-----------------------------|
| Code                                   | Description   | Source                             | Used in KEEP                |
| 9.1                                    | Univocal identification of projects included in the annual sample of MA                             | Ref_Number in eform                | (using codes in section #3) |
| 9.2                                    | Univocal identification of beneficiary(ies) included in the annual sample of MA                     | (National reg num in Eform) or MIS | (using codes in section #1) |
| 9.3                                    | Identification of payment claims subject to verification by MA                                      | MIS                                |                             |
| 9.4                                    | Date of issue of provisional control report for each beneficiary                                    | MIS                                |                             |
| 9.5                                    | Amount of expenditure checked and provisional amount of ineligible expenditure                      | MIS                                |                             |
| 9.6                                    | Provisional report (uploaded document)  | MIS                                |                             |
| 9.7                                    | Supporting documents and correspondence for contradictory procedure (on-line or uploaded documents) | MIS                                |                             |
| 9.8                                    | Date of issue of final control report for each beneficiary  | MIS                                |                             |
| 9.9                                    | Final amount of ineligible expenditure  | MIS                                |                             |
| 9.10                                   | Final report (uploaded document)  | MIS                                |                             |

| 10. Data related to audit |   |                                    |                             |
|---------------------------|---|------------------------------------|-----------------------------|
| Code                      | Description   | Source                             | Used in KEEP                |
| 10.1                      | Univocal identification of projects included in the annual sample of AA                             | Ref_Number in eform                | (using codes in section #3) |
| 10.2                      | Univocal identification of beneficiary(ies) included in the annual sample of AA                     | (National reg num in Eform) or MIS | (using codes in section #1) |
| 10.3                      | Identification of payment claims subject to verification by AA                                      | MIS                                |                             |
| 10.4                      | Date of issue of provisional audit report for each beneficiary                                      | MIS                                |                             |
| 10.5                      | Amount of expenditure checked and provisional amount of ineligible expenditure                      | MIS                                |                             |
| 10.6                      | Provisional report (uploaded document)  | MIS                                |                             |
| 10.7                      | Supporting documents and correspondence for contradictory procedure (on-line or uploaded documents) | MIS                                |                             |
| 10.8                      | Date of issue of final audit report for each beneficiary  | MIS                                |                             |
| 10.9                      | Final amount of ineligible expenditure  | MIS                                |                             |
| 10.10                     | Final report (uploaded document)  | MIS                                |                             |