How to create, validate and send an Annual Payment Forecast?

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Purpose of this functionality

To provide the information related to the forecast of likely applications for payment.

Regulation source

ERDF/CF and ESF: EC 1083/2006 article 76.3

EFF: EC 1198/2006 article 75.3

At the latest by 30 April each year, Member States shall send the Commission a provisional forecast of their likely applications for payment for the current financial year and the subsequent financial year

ERDF/CF and ESF:EC 1828/2006 article 40.1.d and Annex XVII

EFF: EC 498/2007 article 65.1.d and Annex XIII

For 2012, the Commission is asking for two separate payment forecasts: one for the payment requests to be sent to the Commission for the period January - October 2012 and another forecast for the payment requests to be sent to the Commission for the period November - December 2012. This request applies to ERDF, ESF and CF (it does not apply to EFF).
For 2013 the forecasts should cover payment requests to be submitted throughout the year. This will enable the Commission to better anticipate likely demands for payments which may have a budgetary effect in the latter part of the year.

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SFC2007 (System for Fund management in the EC) has been adapted to the new format. Please note that where a 2012 forecast has been submitted using the old format it will be necessary to submit a new one using the updated format.

Concerned Funds

ERDF/CF	ESF	EFF	

EAFRD: Refer to the Bi-Annual Payment Application Forecast quick guide

User roles and permission needed

MEMBER STATE MANAGING AUTHORITY with **UPDATE AND SEND** permissions (MSMA U+S) or

MEMBER STATE CERTIFYING AUTHORITY with **UPDATE AND SEND** permissions (MSCA U+S)

Before you start, check that…

The concerned operational programme version has been entered in SFC2007.

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1. Create the Annual Payment Forecast (APAF).

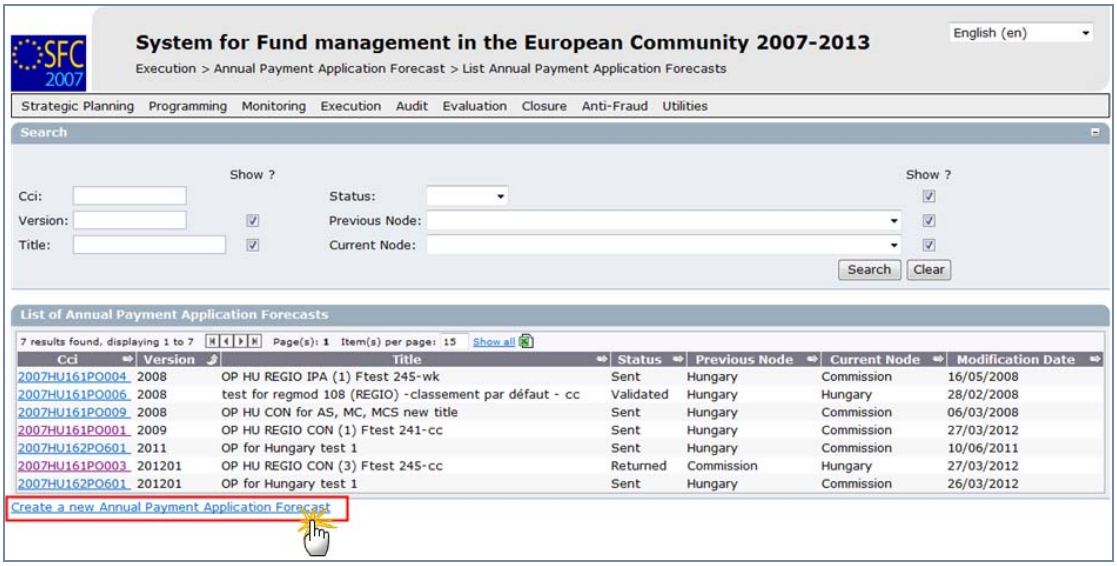
REMARK	Although we're talking about **Annual Payment Forecast**, the application allows submitting **multiple versions per year as from 2012 onwards**. When creating, the previous version in the year has to be sent to the Commission. The annual forecast should be sent by the 30/04 and other versions can be requested or submitted later.

1.1. Get to the APAF section.

Step by Step

1. Open the menu **EXECUTION > ERDF/CF, ESF, EFF ANNUAL PAYMENT FORECAST**.

The *Search pane* appears:



2. Select the **Create a new Annual Payment Application Forecast** option.
3. The *create wizard* screen appears:

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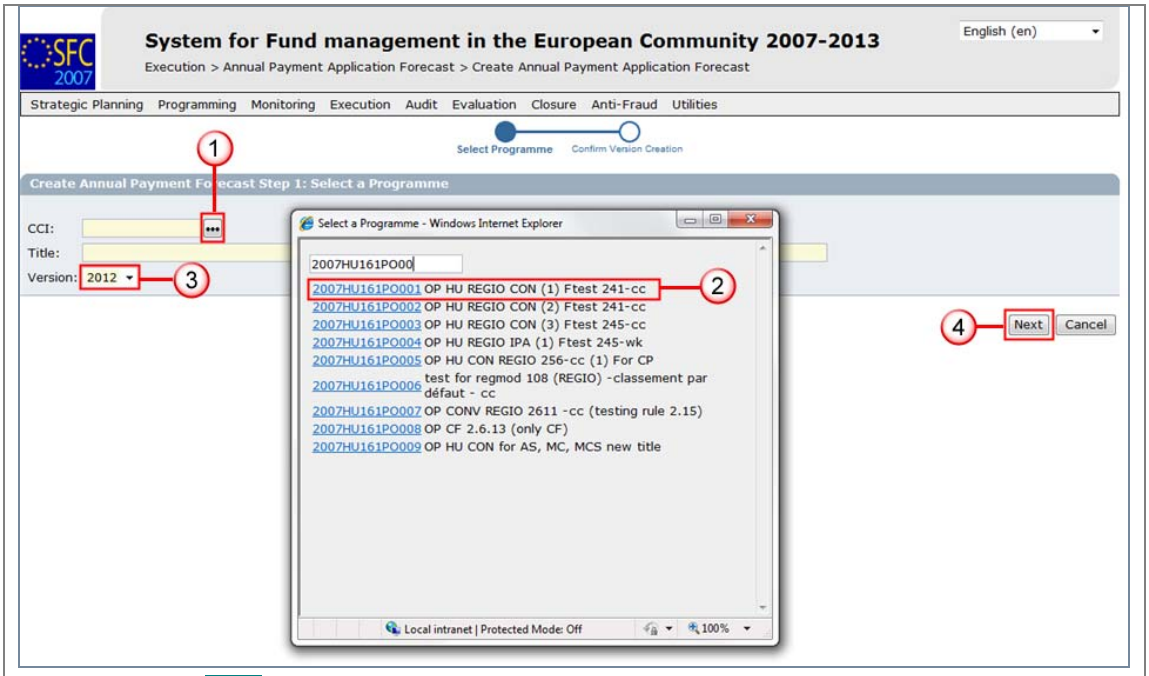

4. Click the button to open the CCI numbers window **(1).**
5. Select the CCI of the concerned programme **(2)**. The title of the programme will automatically appear on the 'Title" field.
6. Select the year for which you will enter the Forecast **(3)**. The value by default is the actual year but you can modify it by selecting the year on the list.

   From 2012 onwards an additional sequence number after the year will be calculated and added automatically by the system when going to the next step.
7. Click NEXT to go to the confirmation step. **(4)**. The next screen is the *confirmation screen*:

8. Click on FINISH to confirm and finish the creation of the APAF. The message "Payment Forecast Created" will be displayed on the upper part of the screen.

1.2. Edit the APAF

TO GET IN EDIT MODE:	- If you directly edit the APAF dossier after finishing the wizard, you are directed automatically to the edit tabs. - If you are editing the APAF dossier at a later stage, go to the menu EXECUTION > ERDF/CF, ESF, EFF ANNUAL PAYMENT FORECAST. The existing APAF dossier is

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	displayed in the list. Click on its title. You are directed to the APAF display screen. Select any of the **Edit** options that appear. You are directed to the editing tabs.

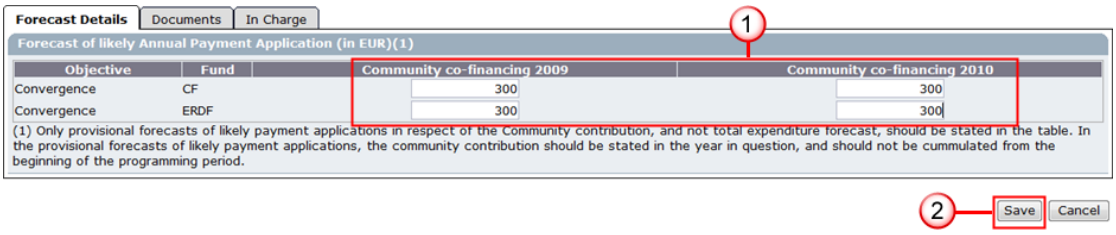
1.2.1. Entering the forecasted amount of payments

Step by Step

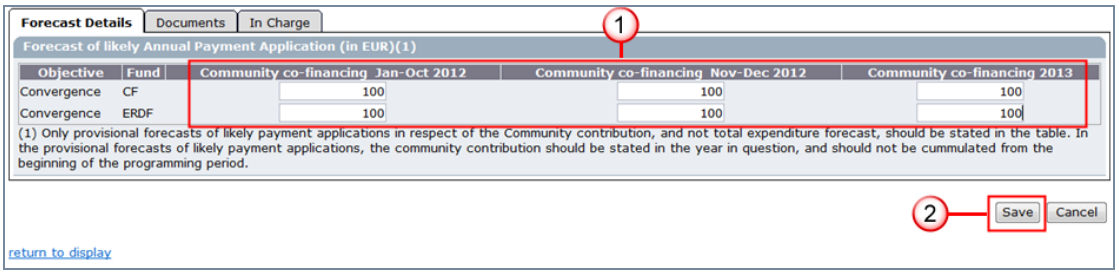
9. On the **FORECAST DETAILS** tab, enter the forecasted amounts.

   SFC2007 will automatically display fields for the **Objectives** and **Funds** covered by the corresponding Programme for ESF and ERDF/CF and the current year forecast (from 2012 onwards) will be split into 2 columns: January to October and November to December.

   Before 2012:



   From 2012 onwards:



10. Enter the forecasted amounts in the corresponding fields **(1)**.

11. Click **SAVE** to save the entered amounts **(2)**.

REMARK	For EFF the system will display the **Region** types covered by the corresponding Programme. The current year forecast (from 2012 onwards) will not be split.

1.2.2. Adding documents to the APAF

REMARK	Documents for APAF are not mandatory! You're free to upload documents or not.

Step by Step

12. Select the **DOCUMENTS** tab to get to the Documents screen. The add *documents screen* appears.

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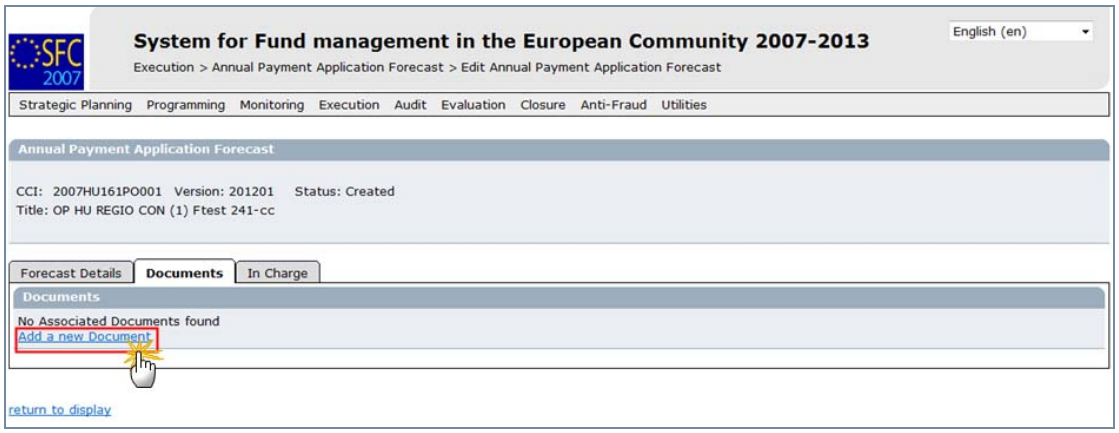
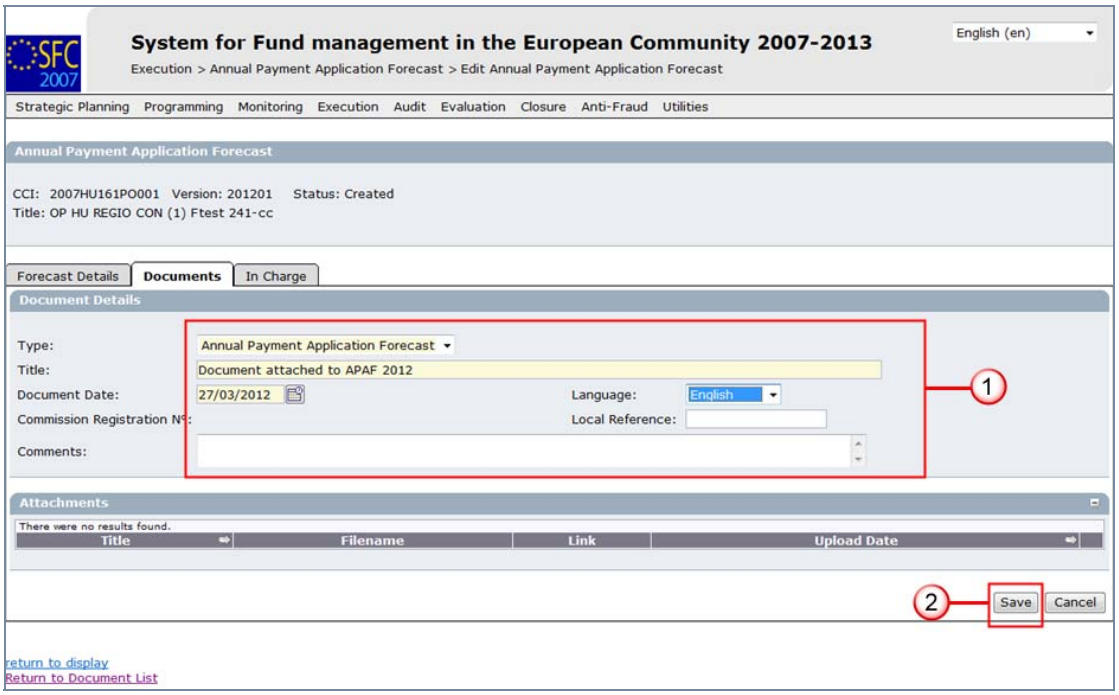
13. Select the **Add a New Document** option.



The *document information* screen appears:



Two types of documents can be uploaded:

- Annual Payment Application Forecast
- Other Member State Document

14. Select the **TYPE** of document, enter the **TITLE** of the document, the **DOCUMENT DATE** and the **LANGUAGE**. Enter a **LOCAL REFERENCE** and **COMMENTS** if any **(1)**.

15. Click **SAVE** to save the entered information **(2)**.

16. After saving, the **Add a new Attachment** option appears. Click on the link.

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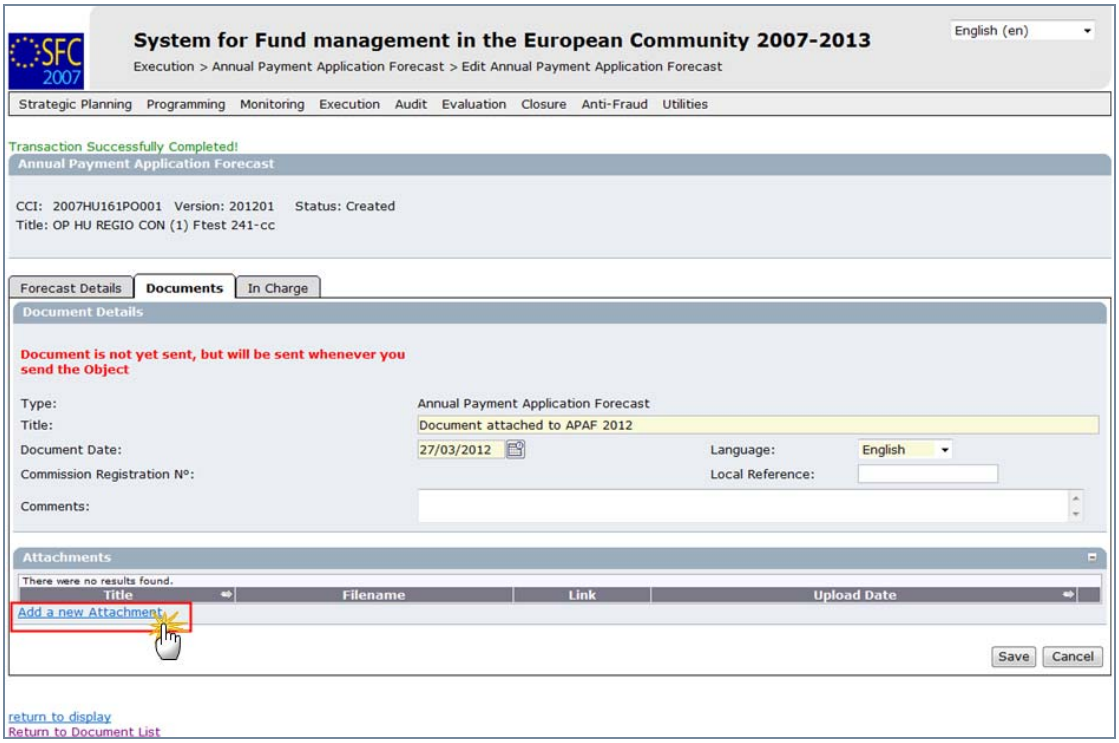
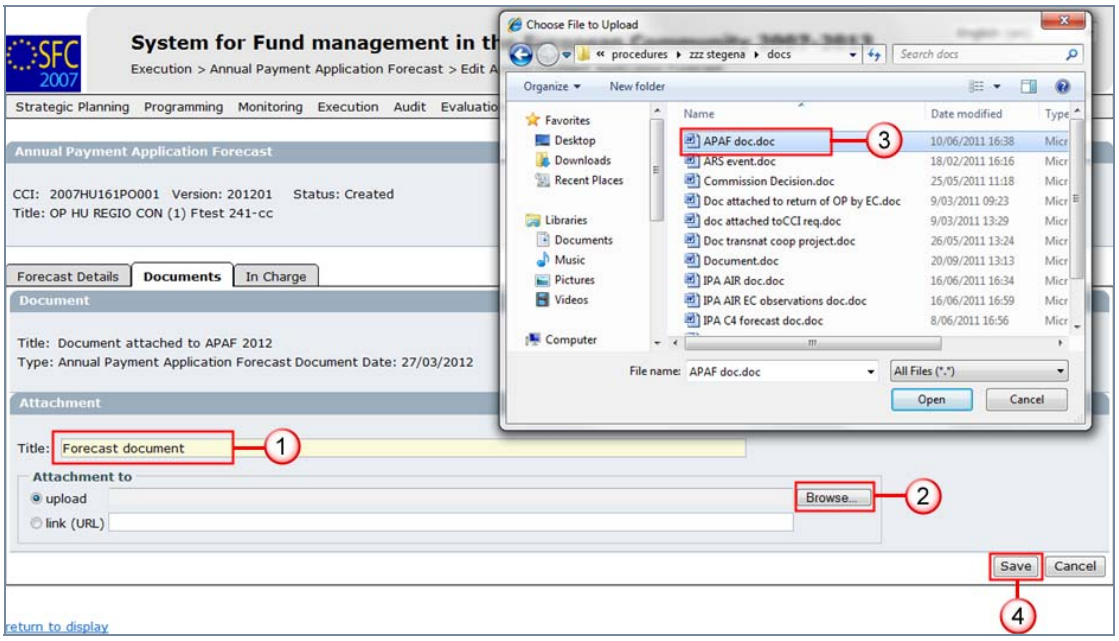


The *upload attachment* screen appears:



17. Enter the **TITLE** of the attached file **(1)**.

18. Click **BROWSE** to find the file on your computer **(2).**

19. Select the file **(3).**

20. Click **SAVE** to save the uploaded file **(4).**

You are redirected to the *document information* screen:

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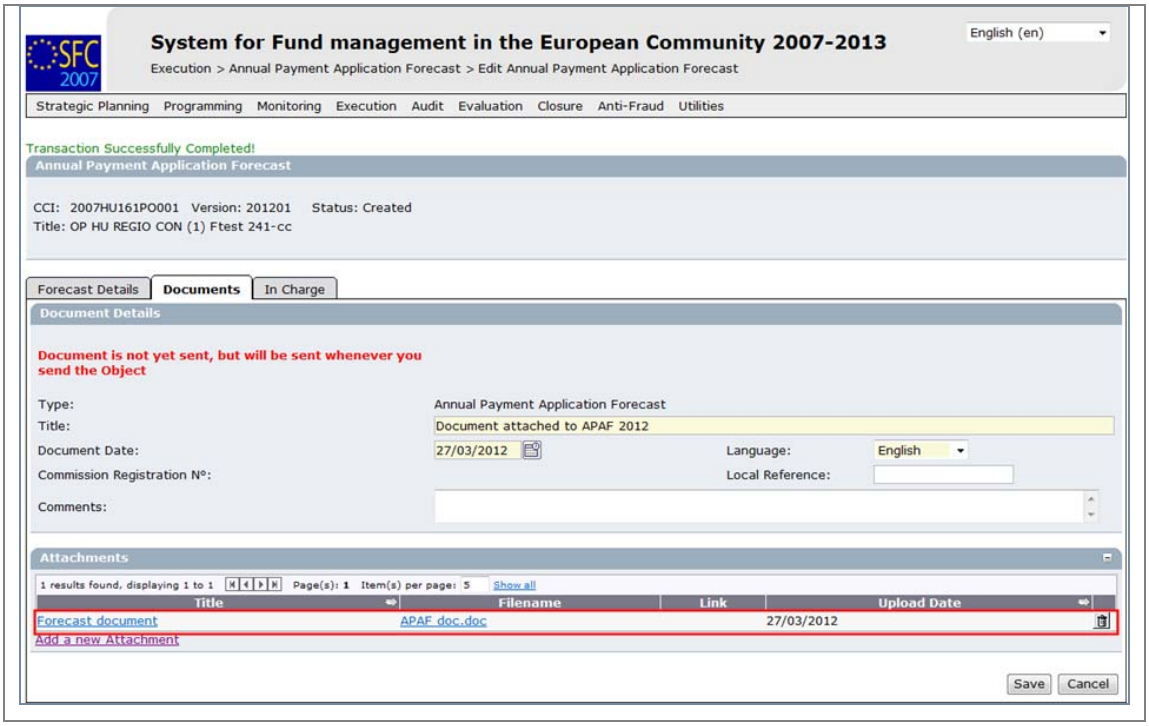


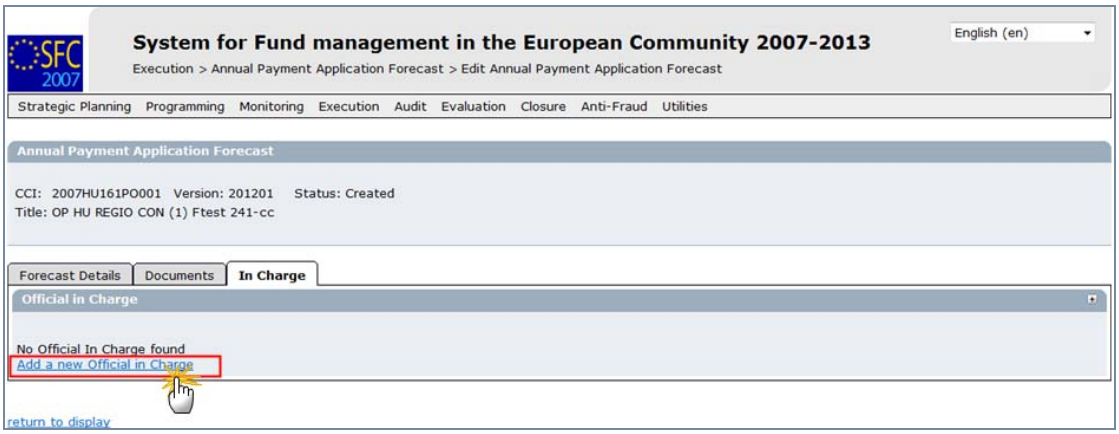
REMARK	To add more files (attachments) to your APAF, click on **Add a New Attachment** and repeat steps 16 to 20 for each file you want to upload.

1.3. Adding officials in charge

REMARK	Adding Officials in Charge is not mandatory! You're free to add Officials in Charge or not.

Step by Step

21. Select the **IN CHARGE** tab. The add *officials in charge tab* appears:



22. Select the **Add a new Official in Charge** link:

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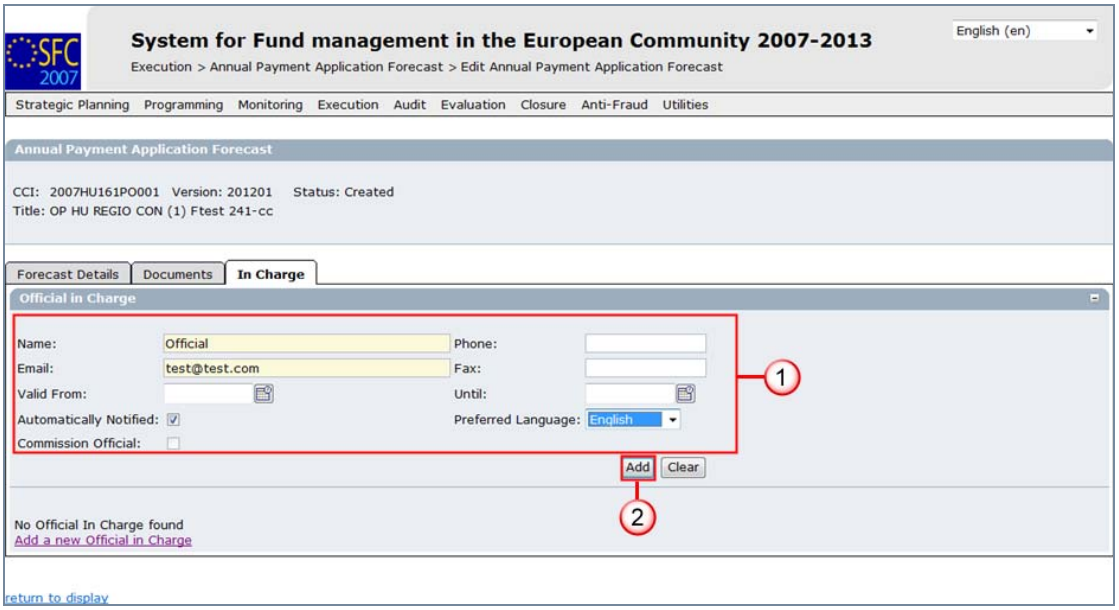
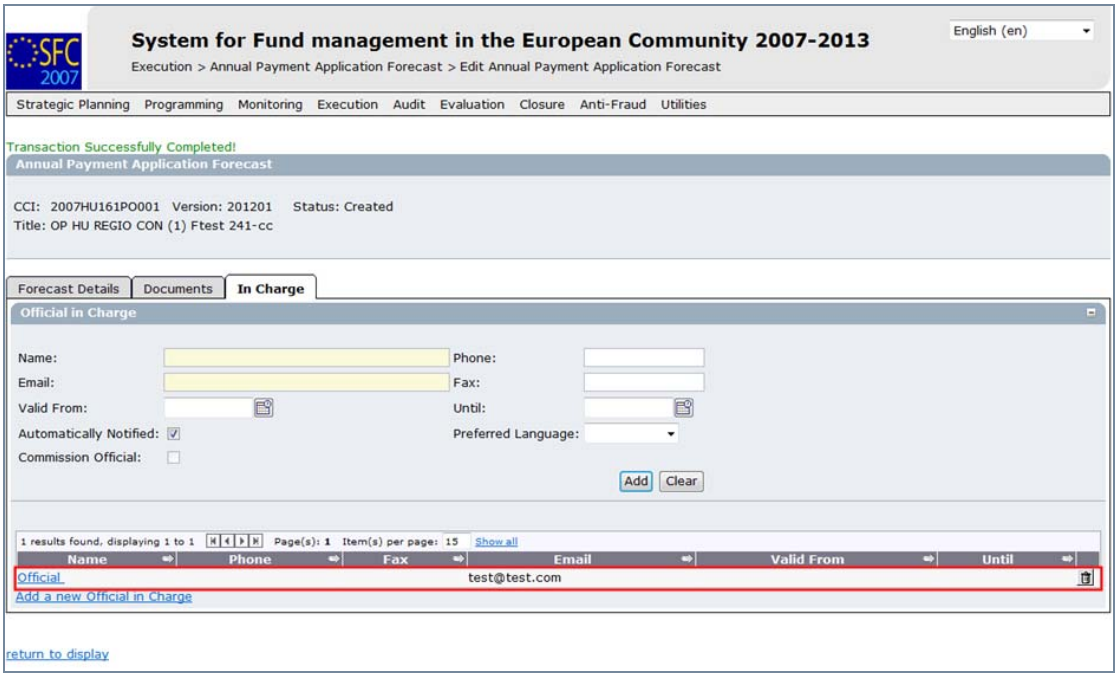


23. Enter the requested data: **(1)**

Fields marked with asterisk (*) are mandatory.

- 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.

24. Click **ADD** **(2)**



Repeat these steps to add as many Officials in Charge as necessary (no limitation)

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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 **UPDATE**.

2. Validate the APAF

Click on the **Return to Display** option. The ***Display APAF*** screen appears. You have an overview of the APAF and its contents.

REMARK	If you need to modify/add/delete data, click on the **Edit** option of the specific section to get to the corresponding edit tab.

Step by Step

25. Click on the **Validate** option on top of the screen:

The system checks the consistency of the data. The ***validation results*** screen appears. If no errors detected, the message "Object has been validated" appears:

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REMARK	After successful validation, the status of the Dossier is "**Validated**". If errors are detected, the status remains "**Created**". 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.

Validation rules: go to **A VALIDATION RULES FOR THE APAF** section

3. The synchronisation of the APAF with the Operational Programme.

3.1. WHAT IS SYNCHRONISING?

THIS OPTION ALLOWS YOU TO SYNCHRONISE YOUR APAF DATA WITH THE LATEST EXISTING VERSION OF THE OPERATIONAL PROGRAMME.

THIS CAN OCCUR WHEN FUNDS AND/OR OBJECTIVES (ERDF/CF AND ESF) OR REGION TYPES (EFF) HAVE BEEN MODIFIED/ADDED IN THE MODIFIED/NEW OPERATIONAL PROGRAMME VERSION SINCE THE CREATION OF THE ANNUAL PAYMENT FORECAST.

IN THIS CASE, THE STRUCTURE OF THE ANNUAL PAYMENT FORECAST CAN BE REALIGNED WITH THE STRUCTURE OF THE MODIFIED/NEW OPERATIONAL PROGRAMME VERSION.

3.2. Synchronising the APAF in SFC2007

Step by Step
26. On the *display APAF* screen, select the **Relink** option in order to synchronise the APAF with the latest OP version.

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27. The *synchronise screen* appears:

28. Click **YES** to confirm the synchronisation.

29. You will be redirected to the *display APAF* screen.

REMARK	After synchronising, edit your APAF according to the modifications applied to Funds, Objectives or Regions if any. Click on the **Edit** option of the specific section to get to the corresponding edit tab.

4. Sending the APAF to the Commission

Step by Step

30. After having validated the APAF, select the **Send** option on the *Display APAF* screen.

31. The *send APAF* screen appears:

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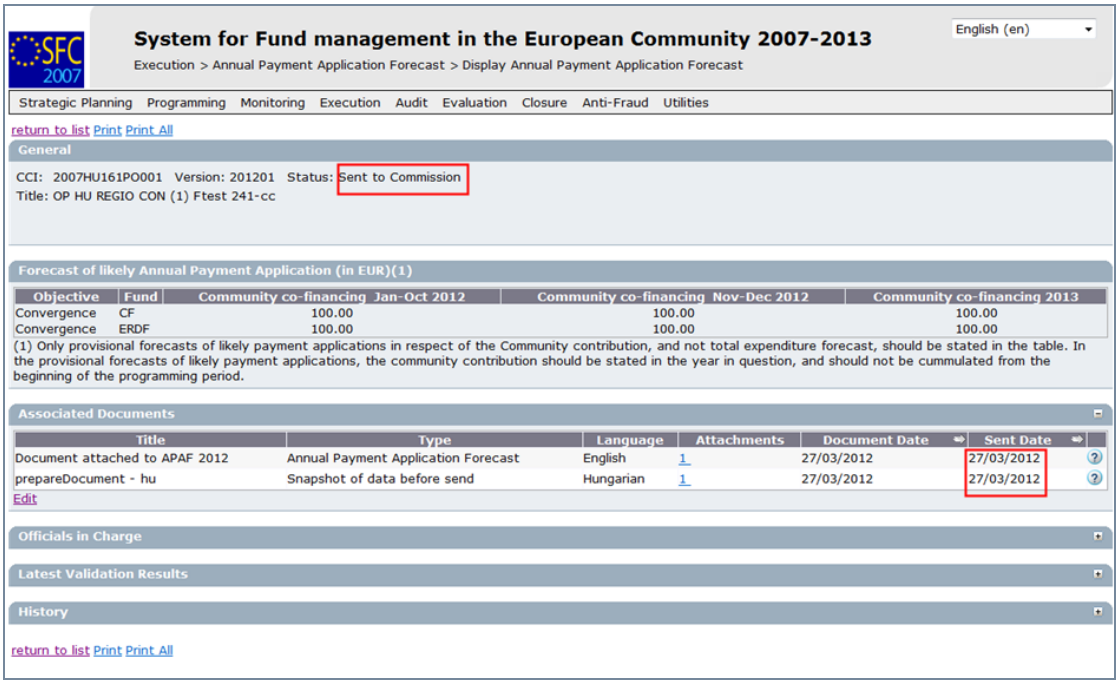
32. Click **YES** to confirm the sending. You are redirected to the *Display APAF* screen:



The status of the APAF is "**Sent**". In the documents section, the documents have a "Sent Date" which corresponds to the date on which the status was set to "Sent".
The **SCREENSHOT OF DATA BEFORE SEND** is generated. You can consult this report by clicking on the attachment link. This report is an image of the data you are sending. This allows you to verify that the information you are sending is correct and accurate.

Click on the link **Return to list** to go back to the list:

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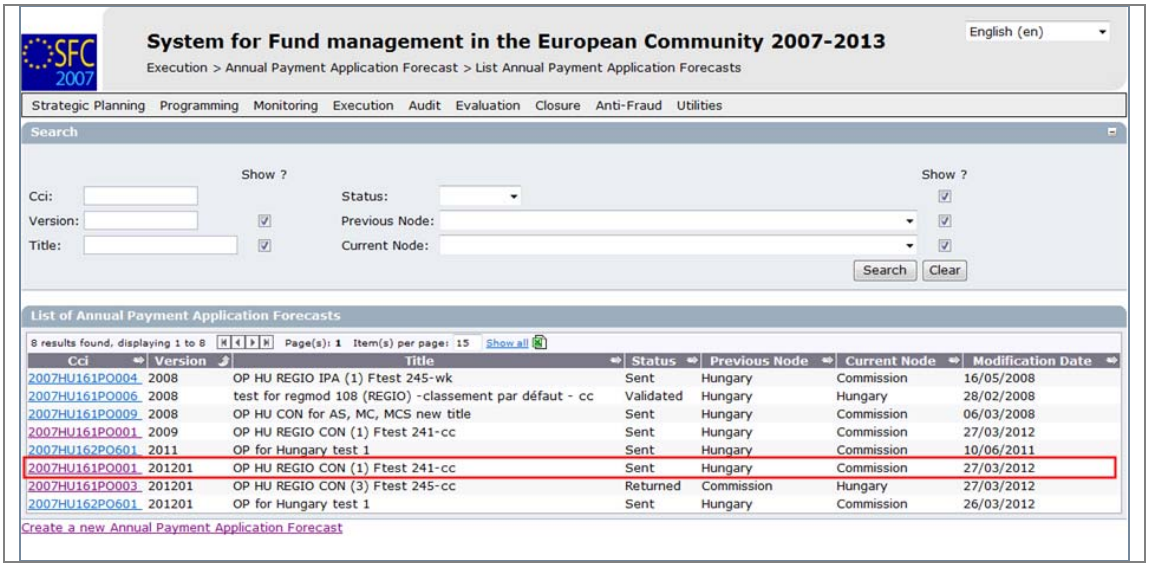

5. Create a new version of the APAF

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

Refer to chapter **1. CREATE THE ANNUAL PAYMENT FORECAST (APAF).**

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a. Validation rules for the APAF

CODE	VALIDATION RULE	SEVERITY
2.1	validate that the Annual Payment Forecast is linked to an Operational Programme (this rule is implicit in web application)	Error
2.2	validate that the Annual Payment Forecast only includes all Objectives and Funds covered by the most recent Programme Version in the system (ERDF/CF and ESF) (this rule is implicit at creation, but maybe not anymore at validation)	Error
2.3	validate that the Annual Payment Forecast only includes all Region Types covered by the most recent Programme Version in the system (EFF) (this rule is implicit at creation, but maybe not anymore at validation)	Error
2.4	validate that the second Annual Payment Forecast for EAFRD doesn't contain amounts for Oct-Dec Year N-1 and Jan-Mar Year N, because they will be automatically retrieved from previous Quarterly Declarations of Expenditure (this rule is implicit in web application)	Error
2.5	validate that the Annual Payment Forecast is validated by: • 30/04 for the first annual forecast for ERDF/CF, ESF, EFF • 28/02 for the first annual forecast for IPA C2, C3, C4 • 31/01 for the first annual EAFRD forecast • 31/07 for the second annual EAFRD forecast • 28/02 of the current year for the IPA C5 forecast Only apply when not yet sent to the Commission.	Warning
2.6	validate that at least one Member State Official in Charge exists	Warning
2.7	validate that the year (=version) of the Payment Forecast is >= first year of the Programme and <= last year + 1 of the Programme and <= current year	Error
2.8	always issue a validation warning saying: "Please be sure that all amounts are expressed in euros and not in millions of euros!"	Warning

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2.9	validate that the sequence part of the version number for ERDF/CF, ESF, EFF and IPA C2, C3, C4 is consecutive without gaps (this rule is implicit in web application)	Error
2.10	validate that the format of the version is • for ERDF/CF, ESF, EFF and IPA C2, C3, C4: YEAR99 • for EAFRD: YEAR01 or YEAR02 • for IPAC5: YEAR01	Error

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b. Workflow of the APAF

Action	Status	Editable by MS?
The MS creates the APAF 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 Returns the dossier for correction	Returned (for correction)	yes
Workflow Final Status of the APAF dossier	**SENT**	**Only the "Officials in charge" section and sending of "other MS documents"**

c. Glossary

APAF:	**ANNUAL PAYMENT FORECAST**

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