



How to create the Annual/Final Implementation Report (ERDF/CF, ESF, EFF)?

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Purpose of these functionalities

This module provides the tool to prepare and send the Annual Implementation Report. In order to send this report, all the data requested by the regulations must be encoded using the menus provided as detailed below.

Regulation source

For ERDF/CF: annex XVIII and part C of annex II of 1828/2006.
For ESF: annex XVIII and part C of annex II of 1828/2006 and annex XXII of 1828/2006 as well.
For ERDF/CF and ESF (Financial Engineering Instruments): REGULATION (EU) No 1310/2011 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 13 December 2011 amending Council Regulation (EC) No 1083/2006 as regards repayable assistance, financial engineering and certain provisions related to the statement of expenditure.
For EFF: annex XIV of 498/2007.

Concerned Funds

Annual (Final) Implementation Report	ERDF/CF	ESF	EFF
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User roles and permission needed

Member State Managing Authority with **Update and Send** permissions (MSMA U+S) for ERDF/CF, ESF or EFF

Before you start, check that...

For ERDF/CF and ESF you have previously created and sent to the **INDICATORS SET** data

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Main changes in the simplified version

The major improvements in this revised module for the Annual Implementation Report and the associated Indicators are listed below. These improvements result in a much faster entry and submission of the Annual Implementation Report and will resolve the problems encountered in 2008.

- Each indicator is now presented in a single line containing only an initial baseline and the possibility to enter either a final target or annual targets.
- The cumulative breakdown of allocations by category can no longer be entered manually. Instead it is uploaded as an Excel file.
- Exception types are not used anymore. All columns are empty by default. Users will have to fill in only those columns for which they have a value
- None of the indicator input columns are mandatory
- Only years before and including the reporting year are visible.
- On the Custom Indicator definition, the free text Measurement Unit is replaced by a list of pre-defined Units.

Changes on 21/06/2010:

- A table will be automatically generated by SFC2007 based on payments made. This table will only be displayed (you cannot edit it as it's generated automatically). The table "Financial Information on priority axis will remain available in case you want to enter this information. However, filling this table in is not mandatory anymore.
- The option "use is made of the option under Article 34(2) of Regulation (EC) No 1083/2006" is only available for FINAL Implementation Report (and not for annual ones)

Changes on 05/06/2012:

For ERDF/CF and ESF changes to the Annual Implementation Report containing additional input screens for Financial Engineering information (REGULATION (EU) No 1310/2011 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 13 December 2011 amending Council Regulation (EC) No 1083/2006 as regards repayable assistance, financial engineering and certain provisions related to the statement of expenditure).

Changes on 26/04/2013:

For ERDF/CF and ESF changes to the Annual Implementation Report containing changes to the input screens for Financial Engineering information (Ares(2013)177487 - 12/02/2013) NOTE FOR THE ATTENTION OF THE COCOF MEMBERS_Annual reporting on the progress made in financing and implementing financial engineering instruments - Article 67 of Council Regulation (EC) No 1083/2006

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Annual (Final) Implementation Report

1. Create the Annual/Final Implementation Report dossier.

REMARK	The Annual/Final Implementation Report is a yearly report. Therefore, there is no versioning of this dossier and the option "create new version" doesn't exist.
REMARK	For the Final Implementation Report, the Reporting Year appears like "9999"

1.1. Get to the Annual/Final Implementation Report section.

1. Open the menu **MONITORING > ERDF/CF, ESF, EFF ANNUAL/FINAL IMPLEMENTATION REPORT**.
 The *Search pane* appears.

System for Fund management in the European Community 2007-2013
 Monitoring > ERDF/CF, ESF, EFF Annual/Final Implementation Report > List Annual/Final Implementation Report

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Anti-Fraud Utilities

Search

Cci: Show ? Status: Show ?
 Year: 2011 Previous Node:
 Title: Current Node:

Search Clear

List of Annual/Final Implementation Report

2 results found, displaying 1 to 2 Page(s): 1 Item(s) per page: 15 Show all

Cci	Year	Title	Status	Previous Node	Current Node	Last Modified
2007HU051PO016	2011	HU Test AK 003	Created	Hungary	Hungary	01/06/2012
2007HU051PO999	2011	OP DEMO - Empowering people for more jobs and a better quality of life	Created	Hungary	Hungary	05/06/2012

[Create a new Annual/Final Implementation Report](#)

2. Select the [Create a new Annual/Final Implementation Report](#) option.
 The *create wizard* screen appears:

System for Fund management in the European Community 2007-2013
 Monitoring > ERDF/CF, ESF, EFF Annual/Final Implementation Report > Create Annual/Final Implementation Report

Strategic Planning Programming Monitoring Execution Audit Evaluation Closure Anti-Fraud Utilities

Select Programme Provide Additional Info Confirm Creation

Create Annual/Final Implementation Report : Step 1. Select a Programme

CCI: 2007HU051PO999 (1)
 Title: OP DEMO - Empowering people for more jobs and a better quality of life

2007HU051PO999 OP DEMO - Empowering people for more jobs and a better quality of life (2)

Next Cancel (3)

3. Click on the button to open the list with CCI numbers (1).
4. Select the CCI number of the concerned Programme. The title of the Programme will be added automatically (2).
5. Click Next (3).

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6. On the *provide additional info screen*, enter the requested additional data (1):

1

Reporting Year: 2011

Monitoring Committee Approval Date: 31/05/2012 [Upload Monitoring Committee Documents](#)

Version of Set of Indicators: 1.2

Number of Financial Engineering Instruments Operations implemented with Holding Fund : 1

Number of Financial Engineering Instruments Operations implemented without Holding Fund : 1

2 Next Cancel

- Select the Reporting Year and enter the Monitoring Committee Approval Date.
- The "Version Set of Indicators" is only shown for ERDF/CF and ESF. Select the Set of Indicators from the list. The list only contains Sets linked to versions of the Programme adopted in or before the indicated Reporting Year.
- The "Number of Financial Engineering Instrument..." fields is only shown for ERDF/CF and ESF.
- **Only for the FINAL Implementation Report** ERDF/CF and ESF specify whether "Use is made of the option under Article 34(2) of Regulation (EC) No 1083/2006".

REMARK If you click on the **UPLOAD MONITORING COMMITTEE DOCUMENTS** link you'll be redirected to the Monitoring Committee section. Only to be done if the "Result and Conclusions" document has not been uploaded yet.

7. Click Next to get to the confirmation step (2).
8. Click **FINISH** to confirm and finish the creation of the Annual Implementation Report dossier. The message "Object creation successful" will be displayed on the upper part of the screen.

1

Please confirm or cancel the creation of this Implementation Report

CCI: 2007HU051PO999 Reporting Year: 2011

Previous Finish Cancel

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1.2. Editing the Annual/Final Implementation Report

TIP	<p>- If you directly edit the AIR dossier after finishing the wizard, you are directed automatically to the edit tabs.</p> <p>- If you are editing the AIR dossier at a later stage, go to the menu EXECUTION > ERDF/CF, ESF, EFF FINAL/ANNUAL IMPLEMENTATION REPORT. The existing AIR dossier is displayed in the list. Click on its CCI number. You are directed to the AIR display screen. Select any of the "Edit" options that appear. You are directed to the editing tabs.</p>
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Depending on the Fund you are entering the AIR for, the following tabs are available:

ESF	ERDF/CF	EFF
General tab	General tab	General tab
Indicators tab	Indicators tab	
Data on Participants tab		
Financial Detail tab	Financial Detail tab	Financial Detail tab
Financial Engineering tab	Financial Engineering tab	Documents tab
Documents tab	Documents tab	In Charge tab
In Charge tab	In Charge tab	

1.2.1. Edit General information

REMARK	<p>On the General tab the Reporting Year cannot be edited.</p> <p>The Version Set of Indicators is only shown for ERDF/CF and ESF and cannot be edited.</p> <p>The "Use is made of the option under Article 34(2) of Regulation (EC) No 1083/2006" is only shown for ERDF/CF and ESF Programmes for the Final Implementation Report.</p> <p>The fields "Number of Financial Engineering Instrument..." are only shown for ERDF/CF and ESF Programmes.</p>
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General Details

CCI: 2007HU051PO999 Year: 2011 Status: Created [?](#) Last Modified: 31/05/2012
Title: OP DEMO - Empowering people for more jobs and a better quality of life

General Indicators Data on Participants Financial Detail Financial Engineering Documents In Charge

General Details

Reporting Year: 2011
Monitoring Committee Approval Date: 31/05/2012 [Upload Monitoring Committee Documents](#)
Version of Set of Indicators: 2
Number of Financial Engineering Instruments Operations implemented with Holding Fund : 1
Number of Financial Engineering Instruments Operations implemented without Holding Fund : 1

Comment:

1 **2**

Save Cancel

[Return to Display](#)

9. Enter extra information in the Comment field if any **(1)**.

10. Click Save **(2)**.

1.2.2. Edit the Indicators (for ERDF/CF and ESF only)

This step only concerns ERDF/CF and ESF programmes! For EFF Programmes go to **EDIT THE FINANCIAL DETAIL** section.

11. Select the **INDICATORS** tab.

The values are automatically taken from the Indicator Set previously created. The achievements for years equal and before the reporting year are shown.

12. Enter the achievement values **(1)**.

General **Indicators** Data on Participants Financial Detail Financial Engineering Documents In Charge

Indicator Values

Type	Indicator	Unit	M/WPriority	2007 Achievement	2008 Achievement	2009 Achievement	2010 Achievement	2011 Achievement
Output	P10A1 - Number of persons participating in further or higher education and training programmes	NUMBER	1	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Output	T or ICT in further or higher education and training programmes	NUMBER	1	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Output	T or ICT capacity building education and training	NUMBER	1	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Result	P5RO1 - Reaching N+3/N+2 targets	%	5	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

1 **2**

Save Cancel

13. Click Save **(2)**.

1.2.3. Edit the Data on participants (for ESF only)

This step only concerns ESF programmes! For ERDF/CF and EFF Programmes go to the **EDIT THE FINANCIAL DETAIL** section.

14. Select the **DATA ON PARTICIPANTS** tab. The **SUB-PRIORITIES** sub-tab is displayed by default.

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REMARK

The sub-priorities section allows you to define Sub-Priorities under the Programme Priorities if you want to maintain Data on Participants at Sub-Priority Level.

15. Select the [Add a New Sub-Priority](#) option to add a new sub-priority.

The *Sub-Priority definition screen* appears:

16. Enter a code and a description for the sub-priority.

17. Select the Priority of the Operational Programme to which this sub-priority is linked. The list contains all priorities of the Programme.

18. Click **ADD** to add the sub-priority to the list of sub-priorities. Repeat the steps 15 to 18 to add as many sub-priorities as you need.

19. Select the **PARTICIPANT VALUES** tab. The *Participant values* screen is displayed.

20. Select the year for which you want to enter the participant values.

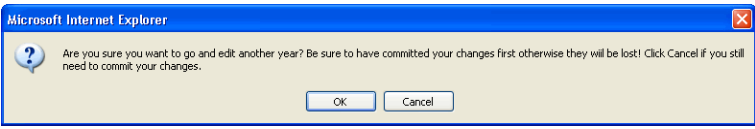
21. Enter the values.

22. Click Save to save the entered values. Repeat the steps 20 to 22 to enter the values for each year.

REMARK

When you select a different year (1), the following pop up appears:

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	 <p>This is to prevent you from changing the year without saving the data first. Ensure that you have saved the data before you switch to a different year.</p>
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1.2.4. Edit the Financial Detail

REMARK	The table "Financial Information per priority axis" remains available in case you want to enter this information. However, for ERDF/CF, ESF filling in this table is not mandatory anymore . Additionally a table will be automatically generated by SFC2007 based on the payments made. (you cannot edit it as it is generated automatically). This table will only be displayed in the <i>display</i> screen.
REMARK	The Financial Detail section does not exist in the Final Implementation Report

23. Select the FINANCIAL DETAIL tab. The *financial detail* screen appears.

The amounts to be entered per priority are the following:

For ERDF/CF and ESF:

- Expenditure paid out by the beneficiaries included in payment claims sent to the managing authority
- Corresponding public Contribution
- Private Expenditure
- Expenditure paid by the body responsible for making payments to the beneficiaries
- Total payments received from the Commission

REMARK	<p>If it has been indicated that the Programme uses the OPTION UNDER ARTICLE 34(2) OF REGULATION (EC) No 1083/2006 each priority will have to detail the expenditure which falls under the other Fund scope. For example:</p> <p>1 Priority 1 ESF xxx EUR</p> <p>1 Priority 1 (ERDF) xxx EUR</p>
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For EFF, The amounts to be entered by priority are the following:

- Expenditure paid out by the beneficiaries included in payment claims sent to the managing authority
- Corresponding public contribution
- Corresponding EFF contribution
- Expenditure paid by the body responsible for making payments to the beneficiaries
- EFF committed by the managing authority
- Total payment requested from the Commission
- Total payments received from the Commission

Additionally only the Region Types that are available in the last adopted Programme Version are shown.

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24. Enter the requested amounts in the columns for each priority.

25. Click **SAVE** to save the entered information.

Priority	Fund (scope)	Expenditure paid out by the beneficiaries included in payment claims sent to the managing authority	Corresponding public Contribution	Private Expenditure	Expenditure paid by the body responsible for making payments to the beneficiaries	Total payments received from the Commission
1 - Improving education and skills	ESF					
2 - Investing in the Employability&Adaptability of the workforce	ESF					
3 - Promoting an equal and inclusive labour market	ESF					
4 - Strengthening of institutional and administrative capacity	ESF					
5 - Technical Assistance	ESF					

1.2.5. Edit Financial Engineering with Holding Fund (ERDF/CF & ESF)

REMARK Items marked with a * are optional.

The "With Holding Fund" tab is only shown for ERDF/CF and ESF Programmes when the number of FEI operations with Holding Fund provided in the General tab is more than 0.

26. On the **HOLDING FUNDS** tab click on the link [Add a new Holding Fund](#).

The *Holding Funds information* screen is displayed.

27. Define Holding Funds.

28. Click **ADD**.

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General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Holding Funds Financial Engineering Instruments Products

Description of the Holding Fund and amounts of assistance to the Holding Fund

I. Description and identification of the entities which implement the financial engineering instrument(s) - level of holding fund (Article 67(2)(j)(i&ii) of Council Regulation (EC) No 1083/2006)

I.1	Holding Fund (name and registered place of business)	
I.2	Legal status of the Holding Fund independent legal entities governed by agreements between the co-financing partners or shareholders separate block of finance within a financial institution	<input type="radio"/> <input type="radio"/>
I.2.1*	name, legal status and registered place of business of co-financing partners	
I.3	Holding Fund manager European Investment Bank (EIB) European Investment Fund (EIF) financial institution other than the EIB/EIF other body	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>
I.3.1	name, legal status and registered place of business of other body	
I.4	Procedure for selecting the Holding Fund manager award of a public contract in accordance with applicable public procurement law award of a grant (in the meaning of Article 44, second paragraph, point (b) of Council Regulation (EC) No 1083/2006) award of a contract directly to the EIB or the EIF	<input type="radio"/> <input type="radio"/> <input type="radio"/>
I.5	Date of signature of funding agreement with Managing Authority	<input type="text"/>
I.6	Number of financial engineering instruments implemented under this specific Holding Fund	<input type="text"/>
III. Operational Programme contributions paid to the financial engineering instrument (Article 67(2)(j)(iii) of Council Regulation (EC) No 1083/2006)		
III.2 Operational Programme contributions paid to the holding fund		
III.2.1 Amounts of assistance from the Structural Funds paid to the holding fund		
III.2.1.1*	ERDF amounts of assistance committed in the funding agreement with Managing Authority (in EUR)	<input type="text"/>
III.2.1.2	ERDF amounts of assistance paid to the holding fund (in EUR)	<input type="text"/>
III.2.1.3*	ESF amounts of assistance committed in the funding agreement with Managing Authority (in EUR)	<input type="text"/>
III.2.1.4	ESF amounts effectively paid to the holding fund (in EUR)	<input type="text"/>
III.2.2 Amounts of national co-financing paid to the holding fund		
III.2.2.1*	National public co-financing committed in the funding agreement with Managing Authority (in EUR)	<input type="text"/>
III.2.2.2	National public co-financing effectively paid to the holding fund (in EUR)	<input type="text"/>
III.2.2.3*	National private co-financing committed in the funding agreement with Managing Authority (in EUR)	<input type="text"/>
III.2.2.4	National private co-financing paid to the holding fund (in EUR)	<input type="text"/>
III.2.3	Other ERDF or ESF Operational Programme(s) provide(s) contributions to the holding fund Yes No	<input type="radio"/> <input type="radio"/>
III.3*	Amounts of other assistance paid to the holding fund outside this Operational Programme (in EUR)	<input type="text"/>
III.4	Management costs and fees paid to the holding fund (in the meaning of Article 78(6)(d) of Council Regulation (EC) No 1083/2006) (in EUR)	<input type="text"/>

2 Add Clear

No holding fund found

29. Go to the FINANCIAL ENGINEERING INSTRUMENTS tab.

General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Holding Funds **Financial Engineering Instruments** Products

Identification of entities implementing the Financial Engineering Instrument and amounts of assistance to the FEI

No Financial Engineering Instrument found

[Add a new Financial Engineering Instrument](#)

30. Click on the link [Add a new Financial Engineering Instrument](#).

31. Select the Holding Fund.

32. Enter the Information.

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33. Click **ADD**.

The screenshot shows the 'Financial Engineering Instruments' tab in the SFC2007 application. The 'Holding Fund' is set to 'Holding Fund 1'. The main content area is a form titled 'Identification of entities implementing the Financial Engineering Instrument and amounts of assistance to the FEI'. The form is divided into several sections:

- II. Description and identification of the entities which implement financial engineering instrument - level of the specific financial engineering instrument implemented with a holding fund (Article 67(2)(j)(i&ii) of Council Regulation (EC) No 1083/2006)**
 - II.1 Financial engineering instrument (name and registered place of business)
 - II.2 Attributable to Article 44, first paragraph (a), (b) or (c) of Council Regulation (EC) No 1083/2006?
 - (a) financial engineering instruments for enterprises
 - (b) urban development funds
 - (c) funds or other incentive schemes providing loans, guarantees for repayable investments, or equivalent instruments, for energy efficiency and use of renewable energy in buildings, including in existing housing
 - II.3 Type of financial product offered by the financial engineering instrument to the final recipients
 - II.3.1 equity
 - II.3.2 loans
 - II.3.3 guarantees
 - II.3.4 other (interest rate subsidies, guarantee fee subsidies and equivalent measures)
 - II.4 Financial engineering instrument manager (its name, legal status and registered place of business)
 - II.7 Legal status of the financial engineering instrument
 - independent legal entities governed by agreements between the co-financing partners or shareholders
 - separate block of finance within a financial institution
- III. Operational Programme contributions paid to the financial engineering instrument (Article 67(2)(j)(iii) of Council Regulation (EC) No 1083/2006)**
 - III.5 Operational Programme contributions paid from the holding fund to the specific fund
 - III.5.1* Operational Programme contributions committed to the specific fund in the legal agreement with holding fund (in EUR)
 - III.5.1.1* out of which amounts of assistance from the Structural Funds (in EUR)
 - III.5.2 Operational Programme contributions paid to the specific fund in line with the legal agreement with holding fund (in EUR)
 - III.5.3 out of which amounts of assistance from the Structural Funds (in EUR)
 - III.5.4 out of which national public co-financing paid to the specific fund (in EUR)
 - III.5.5 out of which national private co-financing paid to the specific fund (in EUR)
 - III.6 Management costs and fees paid by the holding fund to the specific fund (in the meaning of Article 78(6)(d) of Council Regulation (EC) No 1083/2006) (in EUR)
- IV. Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(j)(iv) of Council Regulation (EC) No 1083/2006)**
 - IV.5 Indicators
 - IV.5.1* Number of jobs created

At the bottom right of the form, there is an 'Add' button and a 'Clear' button. A red circle with the number '3' highlights the 'Add' button.

34. Go to the **PRODUCTS** tab.

35. On the **LOANS** tab click on the link [Add a new Financial Product](#).

The screenshot shows the 'Products' tab in the SFC2007 application. The 'Loans' sub-tab is selected. The main content area is empty, displaying 'No Financial Product found'. A red box highlights the link 'Add a new Financial Product' at the bottom left of the screen.

The *Loans information* screen appears.

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36. Select the Holding Fund and FEI.

37. Enter the information.

38. Click Add to save and add to the list.

39. Open the GUARANTEES tab.

40. Click on the link [Add a new Financial Product](#).

The *Guarantees detail* screen appears.

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41. Select the Holding Fund and FEI.
42. Enter the information.
43. Click **ADD** to save and add to the list.
44. Open the **EQUITIES** tab.
45. Click on the link [Add a new Financial Product](#).

The Equities detail screen appears.

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General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Holding Funds Financial Engineering Instruments **Products**

Loans Guarantees **Equities** Others

Equity

Holding Fund: Holding Fund 1 1

FEI: FEI Name 2

IV. Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(j)(iv) of Council Regulation (EC) No 1083/2006)	
IV.3	Operational Programme contributions paid to final recipients in equity/venture capital
IV.3.1	Name of equity/venture capital product
IV.3.2*	Number of final recipients supported
IV.3.2.1*	out of which large enterprises
IV.3.2.2*	out of which SMEs
IV.3.2.2.1*	out of which micro-enterprises
IV.3.2.3*	out of which urban projects
IV.3.2.4*	out of which other recipients supported
IV.3.3*	Number of equity/venture capital investments made in line with agreements signed between holding fund and specific (equity/venture capital) fund
IV.3.4	Amounts of Operational Programme contributions paid to investments made in line with agreements (in EUR)
IV.3.4.1	out of which amounts of assistance from the Structural Funds (in EUR)
IV.3.5	Date of signature of funding agreement between holding fund and specific fund for this equity/venture capital product

3

No Financial Product found

46. Select the Holding Fund and FEI.
47. Enter the information.
48. Click **ADD** to save and add to the list.
49. Open the **OTHERS** tab.
50. Click on the link [Add a new Financial Product](#).

General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Holding Funds Financial Engineering Instruments **Products**

Loans Guarantees **Others** Equities

Other

No Financial Product found

[Add a new Financial Product](#)

The *Others information* screen appears:

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The screenshot shows the 'Financial Engineering' tab with 'Without Holding Fund' selected. The 'Other' section contains a table for 'Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(j)(iv) of Council Regulation (EC) No 1083/2006)'. The table has columns for 'Name of other financial product', 'Number of final recipients supported', and 'Amounts of Operational Programme contributions paid to the final recipients'. The 'Add' button is highlighted with a red box and a circled '3'.

51. Select the Holding Fund and FEI.
52. Enter the information.
53. Click **ADD** to save and add to the list.

1.2.6. Edit Financial Engineering without Holding Fund (ERDF/CF & ESF)

REMARK items marked with a * are optional.

The "Without Holding Fund" tab is only shown for ERDF/CF and ESF Programmes when the number of FEI operations without Holding Funds provided in the General tab is more than 0.

54. Go to the tab **WITHOUT HOLDING FUND**.
55. Click on the link [Add a new Financial Engineering Instrument](#) on the FEIs tab.

The screenshot shows the 'Financial Engineering' tab with 'Without Holding Fund' selected. The 'Financial Engineering Instruments' tab is active, showing a message 'No Financial Engineering Instrument found' and a link 'Add a new Financial Engineering Instrument' highlighted with a red box.

The *FEI detail* screen appears.

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General	Indicators	Data on Participants	Financial Detail	Financial Engineering	Documents	In Charge
With Holding Fund		Without Holding Fund				
Financial Engineering Instruments		Products				
Identification of entities implementing the Financial Engineering Instrument and amounts of assistance to the FEI						
II.A. Description and identification of the entities which implement financial engineering instrument - level of the specific fund implemented without a holding fund (Article 67(2)(j)(i&ii) of Council Regulation (EC) No 1083/2006)						
II.1	Financial engineering instrument (name and registered place of business)	<input type="text" value=""/>				
chars remain) (255)						
Attributable to Article 44, first paragraph (a), (b) or (c) of Council Regulation (EC) No 1083/2006?						
II.2	(a) financial engineering instruments for enterprises	<input type="radio"/>				
	(b) urban development funds	<input type="radio"/>				
	(c) funds or other incentive schemes providing loans, guarantees for repayable investments, or equivalent instruments, for energy efficiency and use of renewable energy in buildings, including in existing housing	<input type="radio"/>				
II.3	Type of financial product offered by the financial engineering instrument to the final recipients					
II.3.1	equity	<input type="checkbox"/>				
II.3.2	loans	<input type="checkbox"/>				
II.3.3	guarantees	<input type="checkbox"/>				
II.3.4	other (interest rate subsidies, guarantee fee subsidies and equivalent measures)	<input type="checkbox"/>				
II.B. Description and identification of the entities which implement financial engineering instrument - level of the specific fund implemented without a holding fund (Article 67(2)(j)(i&ii) of Council Regulation (EC) No 1083/2006)						
II.4	Financial engineering instrument manager (its name, legal status and registered place of business)	<input type="text" value=""/>				
II.7	Legal status of the financial engineering instrument					
	independent legal entities governed by agreements between the co-financing partners or shareholders	<input type="radio"/>				
	separate block of finance within a financial institution	<input type="radio"/>				
II.6	Date of signature of funding agreement with Managing Authority	<input type="text" value=""/>				
III. Operational Programme contributions paid to the financial engineering instrument (Article 67(2)(j)(iii) of Council Regulation (EC) No 1083/2006)						
III.2	Operational Programme contributions paid to the specific fund					
III.2.1	Amounts of assistance from the Structural Funds paid to the specific fund					
III.2.1.1*	ERDF amounts of assistance committed in the funding agreement with Managing Authority (in EUR)	<input type="text" value=""/>				
III.2.1.2	ERDF amounts of assistance paid to the specific fund (in EUR)	<input type="text" value=""/>				
III.2.1.3*	ESF amounts of assistance committed in the funding agreement with Managing Authority (in EUR)	<input type="text" value=""/>				
III.2.1.4	ESF amounts of assistance paid to the specific fund (in EUR)	<input type="text" value=""/>				
III.2.2	Amounts of national co-financing paid to the specific fund					
III.2.2.1*	National public co-financing committed in the funding agreement with Managing Authority (in EUR)	<input type="text" value=""/>				
III.2.2.2	National public co-financing paid to the specific fund (in EUR)	<input type="text" value=""/>				
III.2.2.3*	National private co-financing committed in the funding agreement with Managing Authority (in EUR)	<input type="text" value=""/>				
III.2.2.4	National private co-financing paid to the specific fund (in EUR)	<input type="text" value=""/>				
III.2.3	Other ERDF or ESF Operational Programme(s) provide(s) contributions to the specific fund					
	Yes	<input type="radio"/>				
	No	<input type="radio"/>				
III.3*	Amounts of other assistance paid to the specific fund outside this Operational Programme (in EUR)	<input type="text" value=""/>				
III.4	Management costs and fees paid to the specific fund (in the meaning of Article 78(6)(d) of Council Regulation (EC) No 1083/2006) (in EUR)	<input type="text" value=""/>				
IV. Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(j)(iv) of Council Regulation (EC) No 1083/2006)						
IV.5	Indicators					
IV.5.1*	Number of jobs created	<input type="text" value=""/>				
2 <input type="button" value="Add"/> <input type="button" value="Clear"/>						
No Financial Engineering Instrument found						

56. Enter the information.

57. Click **ADD** to save and add to the list.

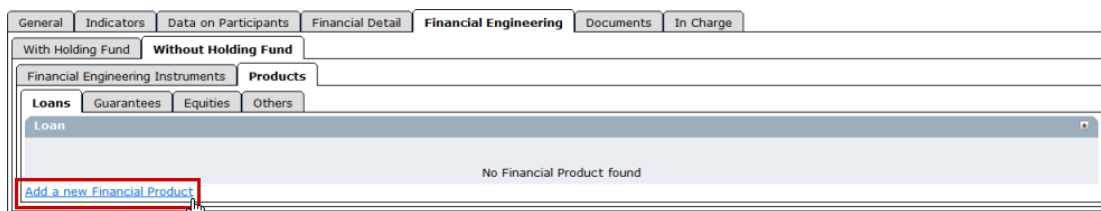
58. Open the **PRODUCTS** tab.

59. Click on the link [Add a new Financial Product](#) on the **LOANS** tab.

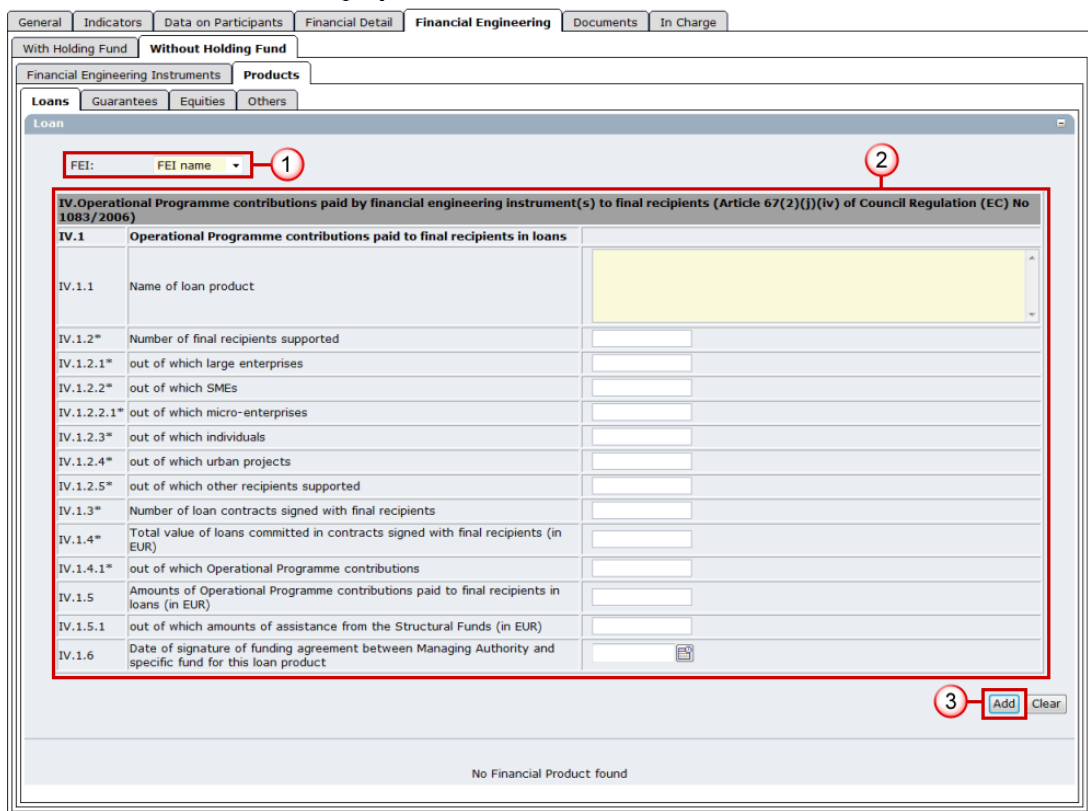
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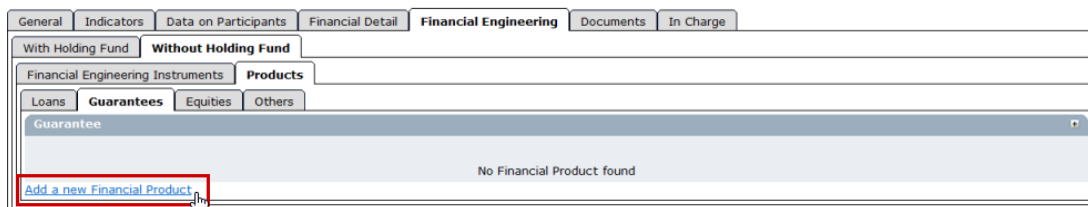
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The *Loans detail* screen is displayed.



60. Select the FEI.
61. Enter the information.
62. Click **ADD** to save and add to the list.
63. Open the **GUARANTEES** tab.
64. Click on the link [Add a new Financial Product](#).



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General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Financial Engineering Instruments Products

Loans **Guarantees** Equities Others

Guarantee

FEI: FEI name 1

2

IV. Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(f)(iv) of Council Regulation (EC) No 1083/2006)	
IV.2	Operational Programme contributions paid to final recipients in guarantees
IV.2.1	Name of guarantee product
IV.2.2*	Number of final recipients supported
IV.2.2.1*	out of which large enterprises
IV.2.2.2*	out of which SMEs
IV.2.2.2.1*	out of which micro-enterprises
IV.2.2.3*	out of which individuals
IV.2.2.4*	out of which urban projects
IV.2.2.5*	out of which other recipients supported
IV.2.3*	Amounts of Operational Programme contributions blocked for guarantee contracts signed with final recipients (in EUR)
IV.2.4	Amounts of Operational Programme contributions blocked for guarantee contracts for loans paid to final recipients (in EUR)
IV.2.4.1	out of which amounts of assistance from the Structural Funds (in EUR)
IV.2.5*	Number of loans paid to final recipients in relation to guarantees contracts signed with final recipients
IV.2.6	Amount of loans actually paid to final recipients in relation to guarantees contracts signed (in EUR)
IV.2.7	Date of signature of funding agreement between Managing Authority and specific fund for this guarantee product

3 Add Clear

No Financial Product found

65. Select the FEI.
66. Enter the information.
67. Click **ADD** to save and add to the list.
68. Open the **EQUITIES** tab.
69. Click on the link [Add a new Financial Product](#).

General Indicators Data on Participants Financial Detail **Financial Engineering** Documents In Charge

With Holding Fund Without Holding Fund

Financial Engineering Instruments Products

Loans Guarantees **Equities** Others

Equity

No Financial Product found

[Add a new Financial Product](#)

The *Equities detail* screen appears.

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The screenshot shows the 'Financial Engineering' section of the SFC2007 application. The 'Without Holding Fund' tab is active, and the 'Equity' sub-tab is selected. A form titled 'IV. Operational Programme contributions paid by financial engineering instrument(s) to final recipients (Article 67(2)(j)(iv) of Council Regulation (EC) No 1083/2006)' is displayed. The form includes a table with the following fields:

IV.3 Operational Programme contributions paid to final recipients in equity/venture capital	
IV.3.1	Name of equity/venture capital product
IV.3.2*	Number of final recipients supported
IV.3.2.1*	out of which large enterprises
IV.3.2.2*	out of which SMEs
IV.3.2.2.1*	out of which micro-enterprises
IV.3.2.3*	out of which urban projects
IV.3.2.4*	out of which other recipients supported
IV.3.3*	Number of equity/venture capital investments made in line with agreements signed between holding fund and specific (equity/venture capital) fund
IV.3.4	Amounts of Operational Programme contributions paid to investments made in line with agreements (in EUR)
IV.3.4.1	out of which amounts of assistance from the Structural Funds (in EUR)
IV.3.5	Date of signature of funding agreement between Managing Authority and specific fund for this equity/venture capital product

At the bottom of the form, there is an 'Add' button and a 'Clear' button. A red box highlights the entire form area, and numbered callouts (1, 2, 3) point to the 'FEI name' dropdown, the form area, and the 'Add' button respectively. Below the form, the text 'No Financial Product found' is displayed.

70. Select the FEI.
71. Enter the information.
72. Click **ADD** to save and add to the list.
73. Open the **OTHERS** tab.
74. Click on the link [Add a new Financial Product](#).

The screenshot shows the 'Financial Engineering' section of the SFC2007 application. The 'Without Holding Fund' tab is active, and the 'Others' sub-tab is selected. The 'Other' sub-tab is also selected. The text 'No Financial Product found' is displayed. A red box highlights the 'Add a new Financial Product' link, and a mouse cursor is pointing to it.

The *Others detail* screen appears.

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75. Select the FEI.
76. Enter the information.
77. Click **ADD** to save and add to the list.

1.2.7. Add documents

IMPORTANT REMARK	<p>In 2008 the cumulative breakdown of allocations by category were entered directly in the screen. However, as the number of operations and combinations increase such data is no longer suitable for manual input. Consequently in this revised version of the SFC2007 Annual Implementation Report module the system of manually encoding the categories data through SFC2007 has been replaced by the upload of a pre-formatted Excel file. The Excel file corresponds to annex II part C of 1828/2006. Please use the templates (available in the help page of SFC2007) in order to avoid problems with the validation of the content. If you are not using the templates please make sure that all fields are text fields.</p> <p>The template is available in the help page: http://ec.europa.eu/sfc/en/2007/support-materials</p> <p>Please upload this excel file as document type CATEGORISATION SHEET. THE FILE EXTENSION MUST BE ".XLS" AND NOT ".XLSX" (EXCEL 2007)</p> <p>More FAQs about the categorisation: http://ec.europa.eu/employment_social/sfc2007/sfc2007_help/documents/categorisation-faq2009.pdf</p>
REMARK	New document types in the Final Implementation Report (see n°79)

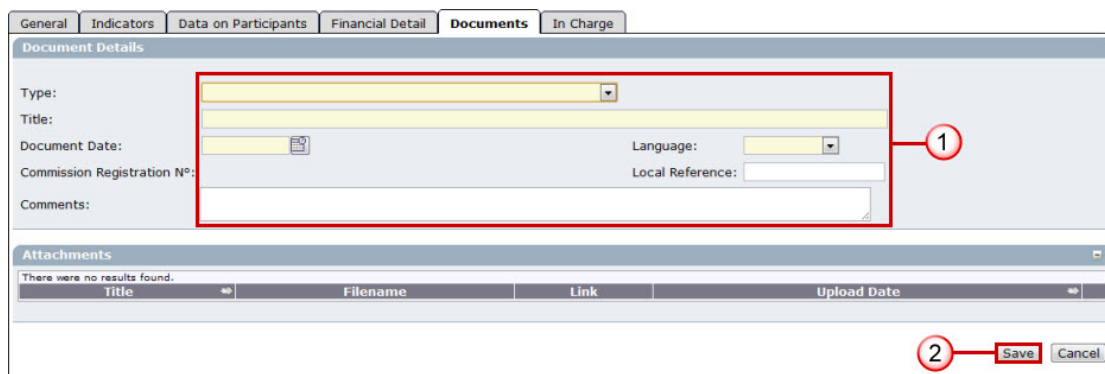
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78. Select the **DOCUMENTS** tab to get to the Documents screen. The *add documents* screen appears.

79. Select the **Add a new Document** option. The enter document information screen appears.



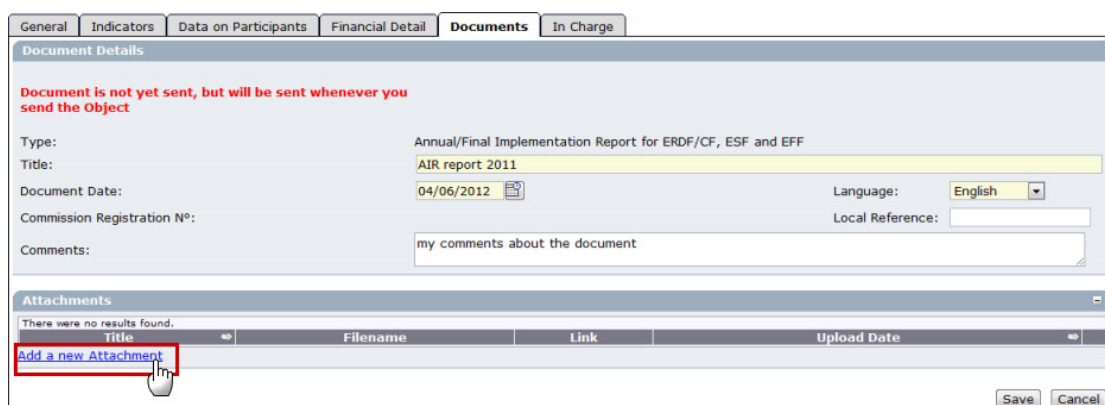
Enter the requested information. These types of documents must be uploaded:

- Annual/Final Implementation Report for ERDF/CF, ESF and EFF (**MANDATORY**)
- Categorisation Sheet (**MANDATORY**)
- Other Member State Document

- Final Implementation Report Financial Information (only for Final Implementation Report ERDF/CF and ESF) (**MANDATORY**) (IR.FIN)
- Final Implementation Report Annex I on completed Major Projects (only for Final Implementation Report ERDF/CF) (IR.AN1)
- Final Implementation Report Annex IV on phased non-Major Projects (only for Final Implementation Report ERDF/CF and ESF) (IR.AN4)

80. Click **SAVE** to save the entered information.

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

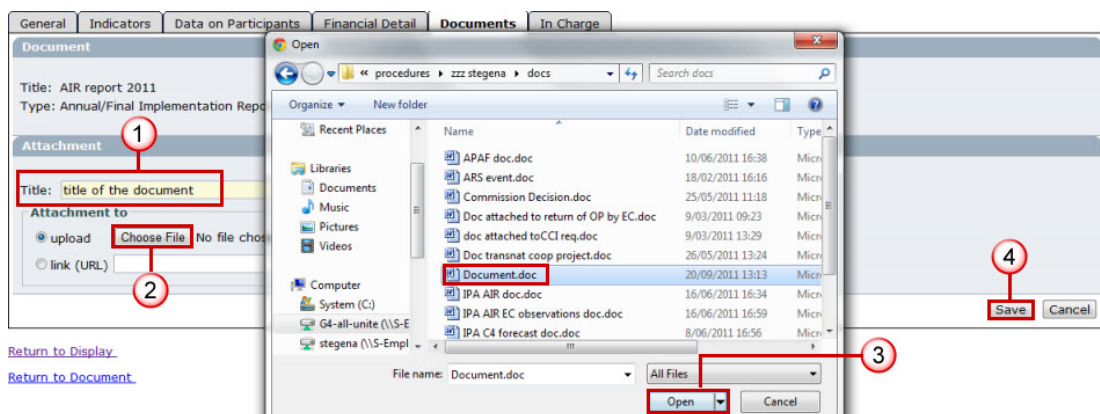


The *upload attachment* screen appears.

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- Enter the Title of the document (1).
- Click on the button to find the file on your computer (2).
- Select the file and click Open (3).
- Click Save to save the uploaded file (4).

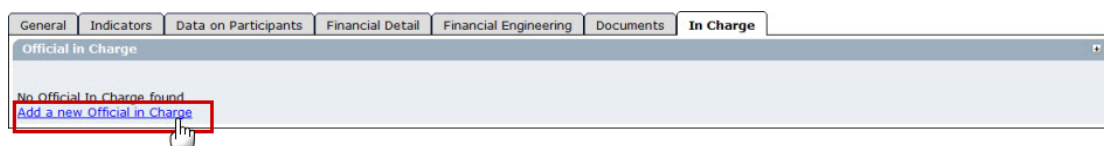
You are redirected to the *document information* screen.

TIP	To add more files (attachments) to your Annual implementation Report, click on Add a New Attachment and repeat the steps under 81 for each file you want to upload.
------------	---

1.2.8. Add Officials in Charge

REMARK	This information is not mandatory. However, the Officials entered will receive an automatic notification each time the status of the Annual Implementation Report changes.
---------------	--

82. Open the **IN CHARGE** tab. The *add officials in charge* screen appears.



83. Click on the link [Add a new Official in Charge](#).

Enter the requested data:

- Name of the official (mandatory).
- E-mail address (mandatory).

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- Phone and Fax
- Valid From and Until: (only if the official will be in charge for a specific period)
- Automatically notified: check this option to receive the automatic notifications.
- Preferred Language: the automatic notifications are sent in this language.

84. Click **ADD** to add this official in charge to the list.

Repeat step 83 to add as many Officials in Charge as necessary (no limitation).

TIP	If a user no longer wants or needs to receive the automatic notifications: select the user and uncheck the AUTOMATICALLY NOTIFIED option. Click UPDATE to save the change.
------------	--

1.3. The "Synchronise set of indicators" function.

REMARK	This functionality allows the user to update the Set of Indicators for ERDF/CF and ESF that were copied into the Annual/Final Implementation Report at creation time with the most recent version of the Set of Indicators linked to an Operational Programme with a Decision Date in or before the Annual/Final Implementation Report year.
---------------	--

85. On the *Display Annual Implementation Report* screen click on the link [Synchronise Set of Indicators](#). Note that the Indicator Version set and OP version is displayed in the header.

The *confirm synchronisation of indicators* screen appears:

86. Click **YES** to confirm. You are redirected to the *display Annual Implementation Report* screen.

REMARK	Following the synchronisation, it may be necessary to add new achievement values (for newly created indicators) to make it compliant to the new indicators
---------------	--

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situation. If you need to modify/add/delete data, click on the Edit link of the specific section to get to the corresponding edit tab.
--

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2. Validate the Annual/Final Implementation Report

87. On the *display Annual Implementation Report* screen, click on the link [Validate](#) on the upper part of the screen.

The screenshot shows the SFC2007 system interface. At the top, there is a header with the SFC2007 logo and the title 'System for Fund management in the European Community 2007-2013'. Below the header, there is a navigation menu with options: Strategic Planning, Programming, Monitoring, Execution, Audit, Evaluation, Closure, Anti-Fraud, Utilities. The 'Validate' link is highlighted in red. Below the navigation menu, there is a section for 'Version' with the following details: CCI: 2007HU051PO999, Year: 2011, Status: Created, Last Modified: 05/06/2012. Title: OP DEMO - Empowering people for more jobs and a better quality of life. Monitoring Committee Approval Date: 31/05/2012. Version of Set of Indicators: 1.3. Number of Financial Engineering Instruments Operations implemented with Holding Fund: 1. Number of Financial Engineering Instruments Operations implemented without Holding Fund: 1. Comment: [empty]. There is an 'Edit' link below the comment.

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

The screenshot shows the SFC2007 system interface after validation. The header and navigation menu are the same as in the previous screenshot. Below the navigation menu, there is a section for 'Version' with the following details: CCI: 2007HU051PO999, Year: 2011, Status: Validated, Last Modified: 05/06/2012. Title: OP DEMO - Empowering people for more jobs and a better quality of life. Below the 'Version' section, there is a section for 'Latest Validation Results' with a table showing the following results:

Date	Severity	Message
05/06/2012	Warning	The document type "Monitoring Committee Reports and Conclusions" with a Meeting Date equal to the Monitoring Committee Approval Date should be unloaded in the Monitoring Committee menu for this Operational Programme.
05/06/2012	Info	Object has been validated.

There is a 'Return to Display' link below the table.

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

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.
For the list of validation rules: go to **VALIDATION RULES FOR THE AIR** section.

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3. Send the Annual/Final Implementation Report to the Commission

88. After having validated the Indicators set, click on the [Send](#) link on the *display Annual Implementation Report* screen.



The *send Annual Implementation Report* confirmation screen appears.

REMARK	The screenshot of data before send is generated. You can consult this report by clicking on the attachment. 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.
---------------	--

89. Click **YES** to confirm the sending. You are redirected to the *Annual Implementation Report* screen.

REMARK	The status of the Annual Implementation Report 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".
---------------	--

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a. Validation rules for the AIR

2.1	validate that the Annual/Final Implementation Report is linked to an adopted Operational Programme present at validation time	error
2.2	validate that the Annual/Final Implementation Report only contains all Region Types present in the last adopted Operational programme Version (EFF)	error
2.3	validate that the Annual/Final Implementation Report only contains all Priorities present in the last adopted Operational programme Version (ERDF/CF, ESF, EFF)	error
2.4	validate that at least one Member State Official in Charge exists	warning
2.5	validate that the Annual/Final Implementation Report is linked to a Set of Indicators sent to a higher node and linked to versions of the Programme with a Commission Decision date in or before the indicated Reporting Year (ERDF/CF, ESF)	error
2.6	validate that the Annual/Final Progress Report refers at least to the following sent Set of Indicator Tables: "G/O Main", "G/O HC" and "R Main" (EAFRD)	error
2.7	validate that the official Annual/Final Implementation Report document is uploaded (ERDF/CF, ESF, EFF)	error
2.8	validate that the Other Annual/Final Progress Report Requirements document for EAFRD is uploaded (EAFRD)	error
2.9	validate that the Financial Execution Table presented by MS is uploaded (EAFRD)	error
2.10	validate that the document type "Monitoring Committee Reports and Conclusions" with a Meeting Date equal to the Monitoring Approval Date is uploaded against the Monitoring Committee object of this Programme	warning
2.12	validate that an achievement value is entered for all years prior or equal to the smallest of the reporting year and the last eligibility year (ERDF/CF and ESF)	warning
2.14	validate that the reporting year, if different from 9999, is \leq current year - 1	error
2.15	validate in Annex XXIII that Woman In is \leq Total In and that Woman Out is \leq Total Out (ESF)	error
2.16	validate that Annex XXIII contains at least one number (ESF)	warning
2.18	validate that there is at least one categorisation record (ERDF/CF and ESF)	error
2.19	validate that the official Categorisation Excel Sheet is uploaded (ERDF/CF, ESF) and that the content can be saved in the database	error
2.20	validate that all Annex XXIII In columns have a value (ESF)	error
2.21	validate in Annex XXIII that: <ul style="list-style-type: none"> ▪ Employed + Unemployed + Inactive is equal to the Total Number of Participants. Both for Total as for Woman. ▪ Long Term Unemployed is smaller or equal to Unemployed. ▪ Self Employed is smaller or equal to Employed. 	error

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	<ul style="list-style-type: none"> ▪ Inactive in education/training is smaller or equal to Inactive ▪ Total of breakdown of participants by educational level is smaller or equal to Total number of participants. 	
2.22	validate that "Use is made of the option under Article 34(2) of Regulation (EC) No 1083/2006" is only true for ERDF/CF and ESF Programmes for the Final Implementation Report from AIR 2010 onwards (ERDF/CF, ESF)	error
2.23	validate that the "Number of FEI Operations implemented with Holding Fund" are equal to the number of Holding Funds defined (ERDF/CF, ESF)	warning
2.24	validate that the "Number of FEI Operations implemented without Holding Fund" are equal to the number of FEIs without Holding Fund defined (ERDF/CF, ESF)	warning
2.25	validate that the "Number of FEI(s) implemented under a Holding Fund (I.6) is equal to the number of FEIs defined under that Holding Fund (ERDF/CF, ESF)	warning

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b. Workflow of the Annual Implementation Report in SFC2007

Action	Status	Editable by MS?
The member State creates the AIR and enters the requested data	Created	Yes
The Member State validates the contents of the AIR	Validated	Yes
The Member State Sends the AIR to the Commission	Sent	Only the "Officials in charge" section and sending of "other MS documents"
The Commission considers the AIR as admissible	Admissible	Only the "Officials in charge" section and sending of "other MS documents"
The Commission returns the AIR to the MS for Correction OR The Commission returns the Indicators set to which the AIR is linked	Returned (for correction)	Yes
The Commission gives it Final opinion	Final opinion given	Only the "Officials in charge" section and sending of "other MS documents"
Final Status for the Annual Implementation Report:	FINAL OPINION GIVEN	Only the "Officials in charge" section and sending of "other MS documents"

c. Glossary

AIR	ANNUAL IMPLEMENTATION REPORT
MS	Member State

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