How to create, sign, validate and send an Interim Payment Application?

Contents of this guide

Version 2.1 - Last revised: 19/01/2012
For more information on this document please contact sfc2007-info@ec.europa.eu

Purpose of this functionality

Creating and submitting declarations of expenditure and interim payment applications and submitting them to the Commission

Regulation Source

ERDF/CF and ESF: EC 1083/2006 TITLE VII *CHAPTER I*

EFF: EC 1198/2006 TITLE VIII *CHAPTER I*

All exchanges concerning financial transactions between the Commission and the authorities and bodies designated by the Member States shall be made by electronic means…

ERDF/CF and ESF:EC 1828/2006 article 20.1 40.1.c and Annex X

art.78(6) Financial Engineering and art.78(2) Advances of State Aid

EFF: EC 498/2007 article 41.1, 65.1.b and Annex IX

Concerned Funds

ERDF/CF	ESF	EFF	

User roles and permission needed

Member State Certifying Authority with Update and Send permissions(MSCA U+S)

Check before you start

- The Operational Programme version for which you want to create the Interim Payment Application has already been approved by the Commission (status in SFC2007 must be "Decision Taken")
- The Annual Implementation Report has been Sent to the Commission by the Managing Authority (see validation rule 2.17)
- The Management and Control Systems dossier for the concerned programme has been Sent to the Commission by the Audit Authority/Compliance Officer (see validation rule 2.27)

Frequently Asked Questions

Question: I printed my Interim payment Application via the ""Print" or "Print all option" and I see different amounts than the ones I entered.
Answer: The prints will show the correct amounts only after you have validated the Interim Payment Request (see how to validate in section 4).

Question: Where do I enter amounts of expenditure for the Technical Assistance Priority?
Answer: The expenditure amounts for all Priorities (including the technical assistance priority) should be entered in the Statement of Expenditure tab.
The amounts to be entered in the Technical Assistance tab are used for information purposes only (to verify the respect of limits of 4% and 6% from article 46 of Council Regulation (EC) No 1083/2006) and this entered amount is not taken into account for the calculation of the Interim Payment

1. Create the Interim Payment Application.

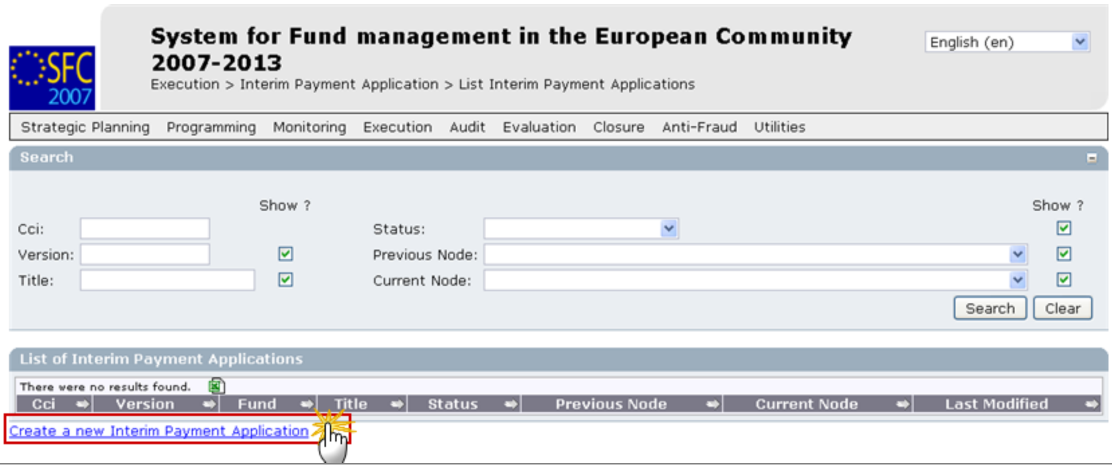
1.1. Get to the Create new Interim Payment Application screen.

1. Go to the **EXECUTION > ERDF/CF, ESF, EFF INTERIM PAYMENT APPLICATION** menu.

The Search pane appears.

Step by Step

2. Select the **Create a new Interim Payment Application** option.



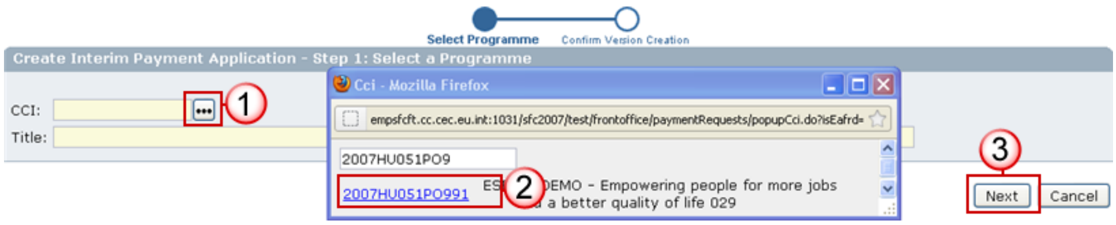
The Create Interim Payment Application wizard appears.
The wizard consists in two steps: **SELECTION OF THE PROGRAMME** and **CONFIRMATION**

Step by Step

3. On the Select Programme screen, click on the select programme button **(1)**

The list of the available CCI (only programmes in status "Decision Taken") appears.

4. Select the corresponding programme **(2)**



5. Click on **NEXT** to go to the next step **(3)**

The next screen shows the information related to the Interim Payment Application you are creating.

Step by Step

6. Verify the information and click **FINISH** to end the creation of the Interim Payment Application.

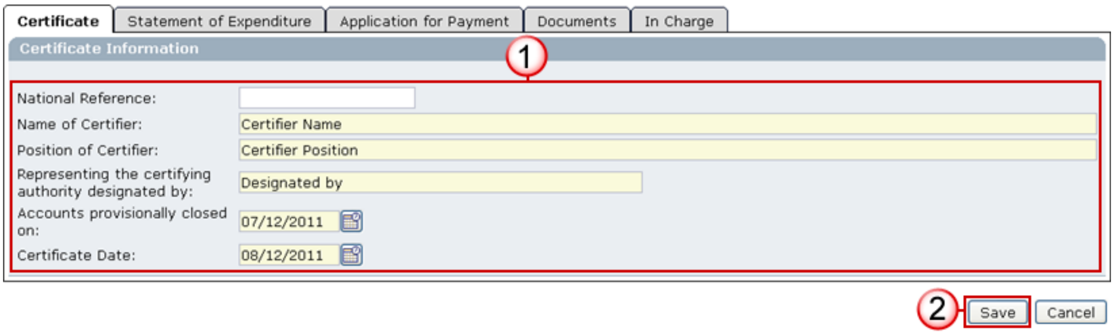
1.2. Edit the Interim Payment Application: Enter the Certificate Information

TO GET IN EDIT MODE:	- If you directly edit the Interim Payment Application dossier after finishing the wizard, you are directed automatically to the edit tabs. - If you are editing the Interim Payment Application dossier at a later stage, go to the menu **EXECUTION > ERDF/CF, ESF, EFF INTERIM PAYMENT APPLICATION** and search for the existing Interim Payment Application dossier. Click on the CCI number. You are directed to the display screen. Select any of the "edit" options that appear. You are directed to the editing tabs.

7. Select the CERTIFICATE tab.

Step by Step

8. Enter the requested data (fields marked with asterisk " * " are mandatory) **(1)**.



- The national reference
- Name of the certifier (*)
- Position of the certifier (*)
- Representing the authority designated by (*)
- Date on which the accounts were provisionally closed (*)
- Date of the Certificate (*)

9. Click on SAVE to save the entered data **(2)**.

1.3. Edit the Statement of expenditure (only for ERDF/CF, ESF)

EFF USERS:	**GO TO CHAPTER 1.4 EDIT THE STATEMENT OF EXPENDITURE (FOR EFF).**

10. Select the STATEMENT OF EXPENDITURE tab.

The Statement of expenditure for ERDF/CF, ESF consists of three subtabs:

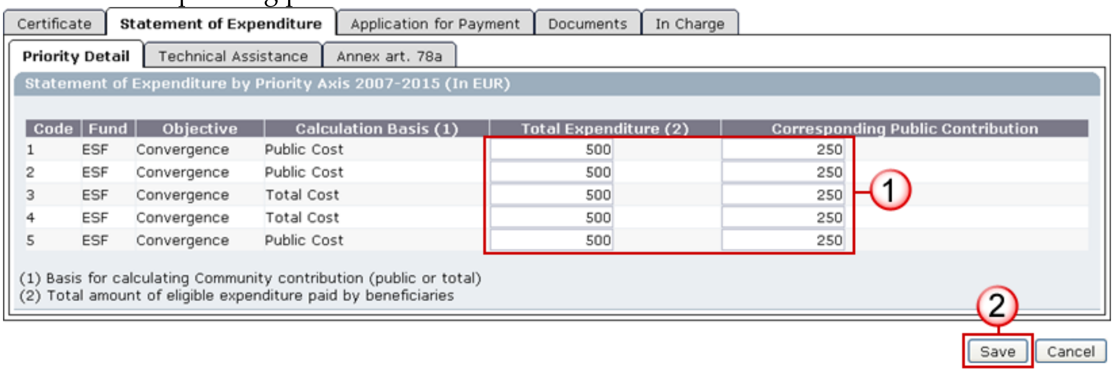
- Priority detail
- Technical Assistance

- Annex art. 78a

11. Select the **PRIORITY DETAIL** tab to enter the expenditure amounts made by priority

Step by Step

12. Enter the requested data **(1)**:
    - Total expenditure and
    - Corresponding public contribution



13. Click on **SAVE** to save the entered data **(2)**.

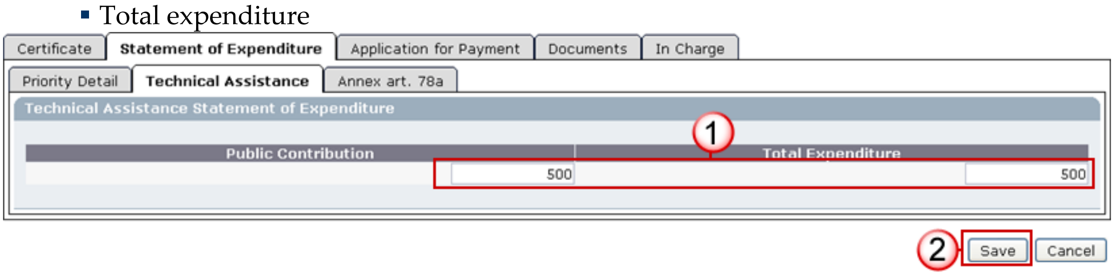
Priority Detail is only presented for those Priorities of the selected Fund present in the linked Operational Programme Version.

REMARK	The values entered into the statement of expenditure are **cumulative amounts** (i.e. takes into account all expenditure since the start of the eligibility period). **Public contribution** should not exceed the amount declared in the corresponding Operational Programme.

14. Select the **TECHNICAL ASSISTANCE** tab to enter the technical expenditure amounts:

Step by Step

15. Enter the requested data **(1)**:
    - Public contribution
    - Total expenditure



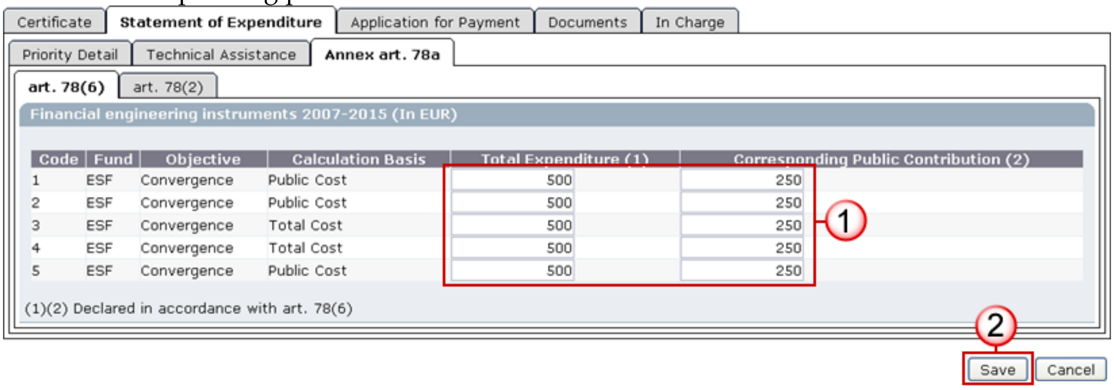
16. Click on **SAVE** to save the entered data **(2)**.

17. Select the **ANNEX ART. 78A** tab.

Step by Step

18. In the art.78(6) tab Enter the requested data **(1)**:
    - Total expenditure and

- Corresponding public contribution

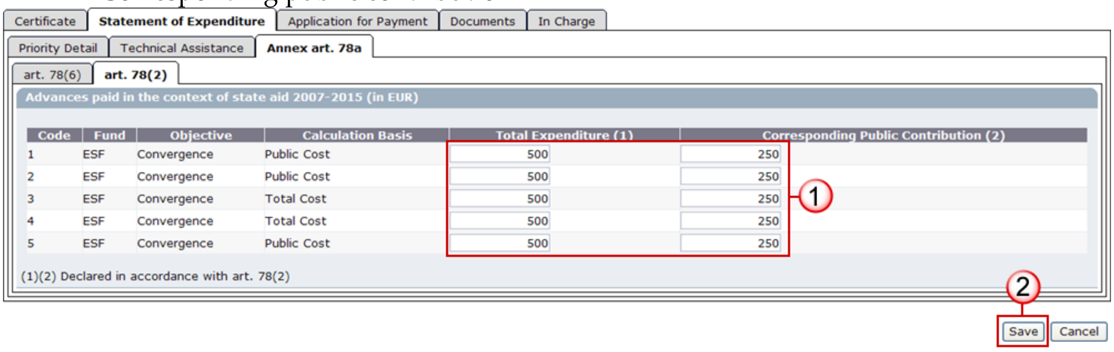


19. Click on **Save** to save the entered data **(2)**.

20. Select the **art. 78(2)** tab.

Step by Step

21. In the art.78(6) tab Enter the requested data **(1)**:
    - Total expenditure and
    - Corresponding public contribution



22. Click on **Save** to save the entered data **(2)**.

1.4. Edit the Statement of expenditure (for EFF)

23. Select the **Statement of Expenditure** tab.

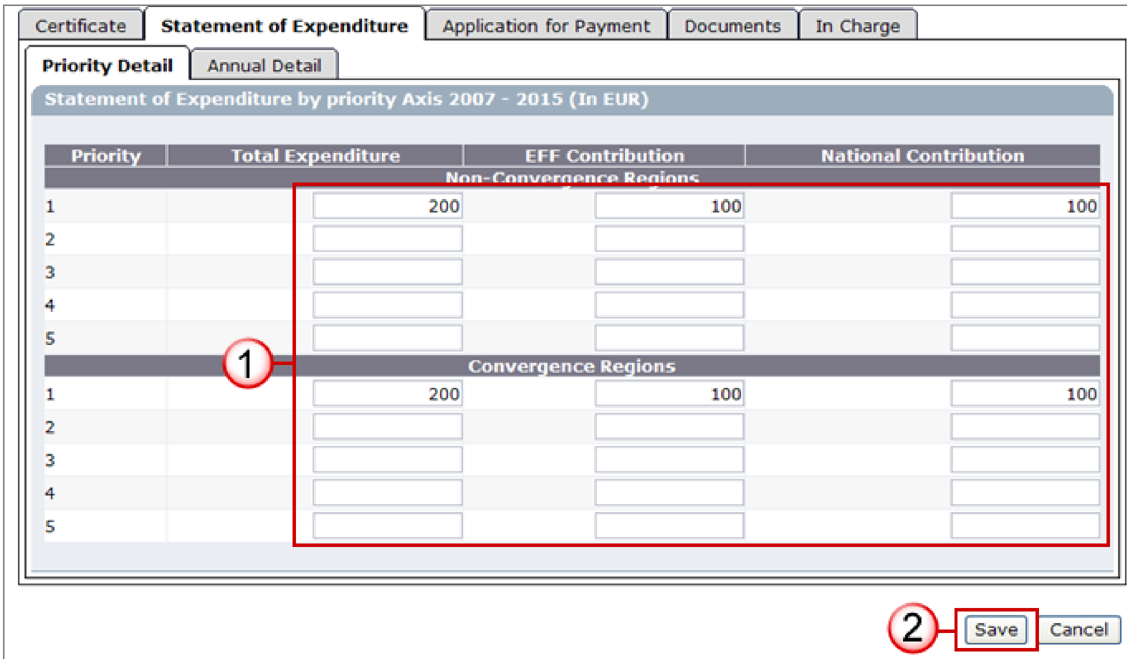
The Statement of expenditure for EFF consists in two subtabs:

- Priority detail
- Annual Detail

24. Select the **Priority Detail** tab to enter the expenditure amounts made by priority

Step by Step

25. Enter the requested data (by type of region) **(1)**:
    - Total expenditure and
    - Corresponding EFF contribution
    - National Contribution

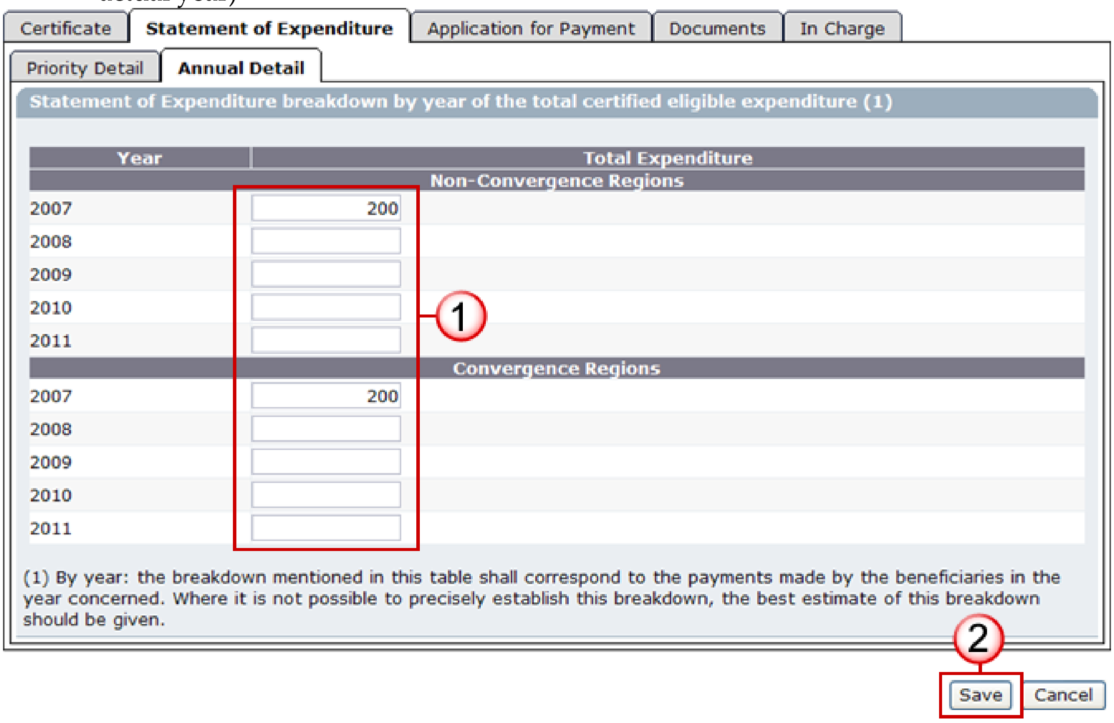


26. Click on **Save** to save the entered data **(2)**.

27. Select the **Annual Detail** tab.

Step by Step

28. Enter the requested data **(1)**:
    - Total expenditure by year (years displayed are first year of implementation until actual year)



29. Click on **Save** to save the entered data **(2)**.

1.5. Edit the Application for Payment (ERDF/CF, ESF only)

30. Select the **APPLICATION FOR PAYMENT** tab.

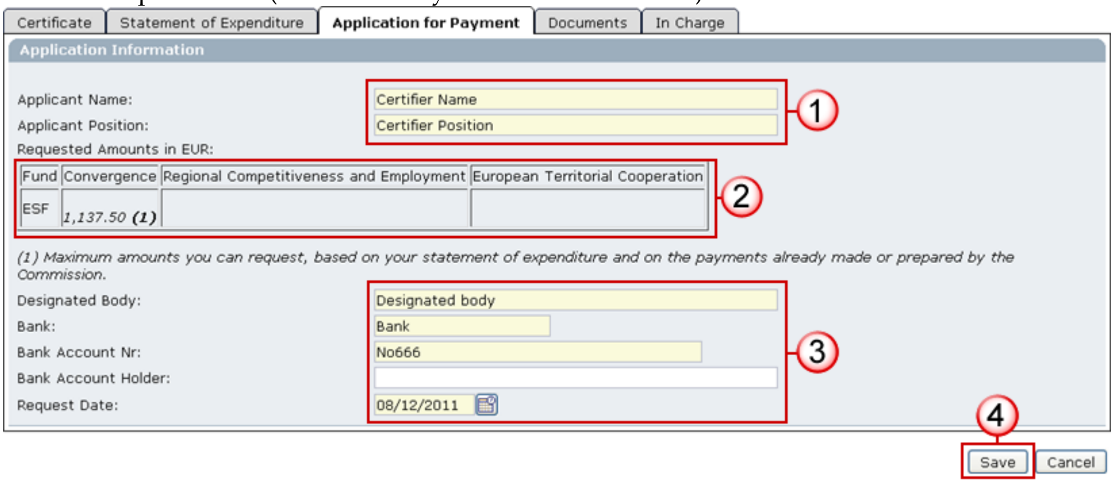
The Application for payment tab is displayed.

Step by Step

31. The requested data comes from the Certificate information but this can be modified **(1)**:

32. The Requested Amount is automatically calculated **(2)**.

33. Complete the requested information (information highlighted in yellow is obligatory) **(3)**
    - Designated Body*
    - Bank*
    - Bank Account Nr.*
    - Bank Account holder
    - Request date* (Automatically filled but modifiable)



34. Click on **SAVE** to save the entered data **(4)**.

1.6. Edit the Application for Payment (Only EFF)

REMARK	Please note that for **ERDF/CF** & **ESF** the requested amount is calculated as the maximum amount that can be paid based on the declared expenditure. The final amount may be lower depending on pending payments, ceilings, reservations or missing information related to the management and control system descriptions etc..

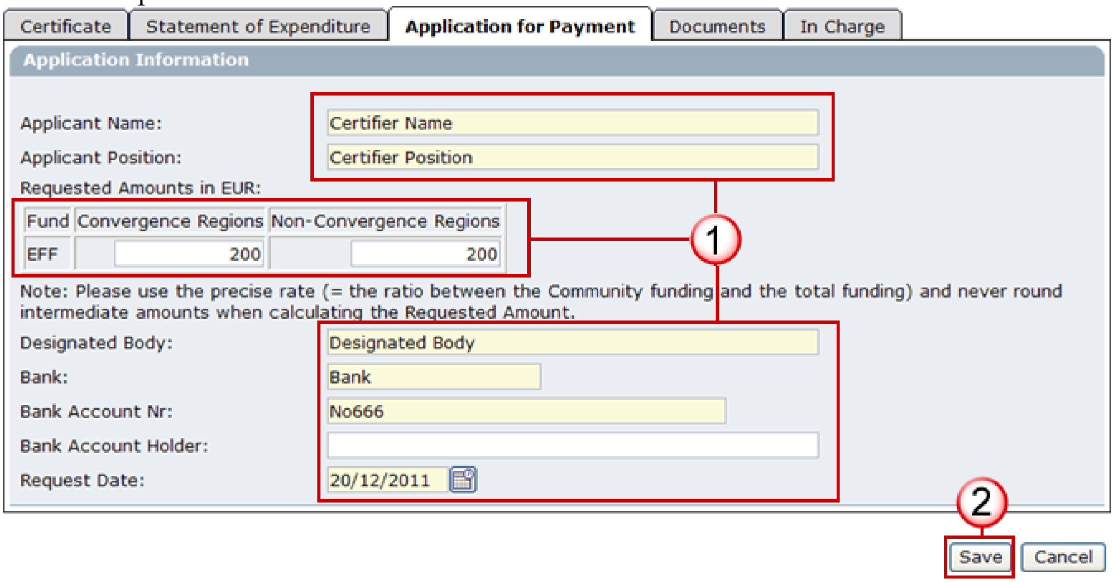
35. Select the **APPLICATION FOR PAYMENT** tab.

The Application for payment tab is displayed.

Step by Step

36. Complete the requested information **(1)**
    - Applicant Name*
    - Applicant Position*

- Requested Amounts in EUR (For Fund, Objective and Region) (*)
- Designated Body*
- Bank*
- Bank Account Nr.*
- Bank Account holder
- Request date*



37. Click on **Save** to save the entered data **(4)**.

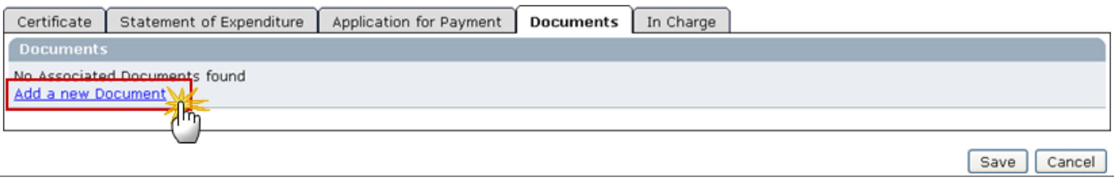
1.7. Add documents

38. Click on the **Documents** tab.

The add Documents screen appears.

Step by Step

39. Click on the **Add a New Document** option.

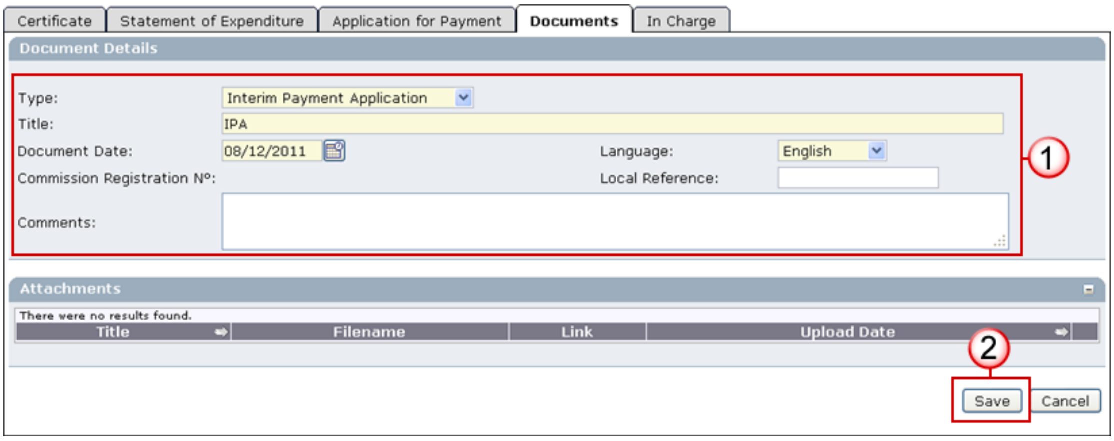


The *edit document info* screen appears.

Step by Step

40. Enter the general information about the document you are uploading **(1)**. Fields with asterisk * are mandatory:
    - **Type*** of Document. It can be "Interim Payment Application" or "Other Member State Document"
    - **Title*** of the document
    - The **Document Date***
    - **Language*** of the document
    - The **Local reference**

- Free **Comments**

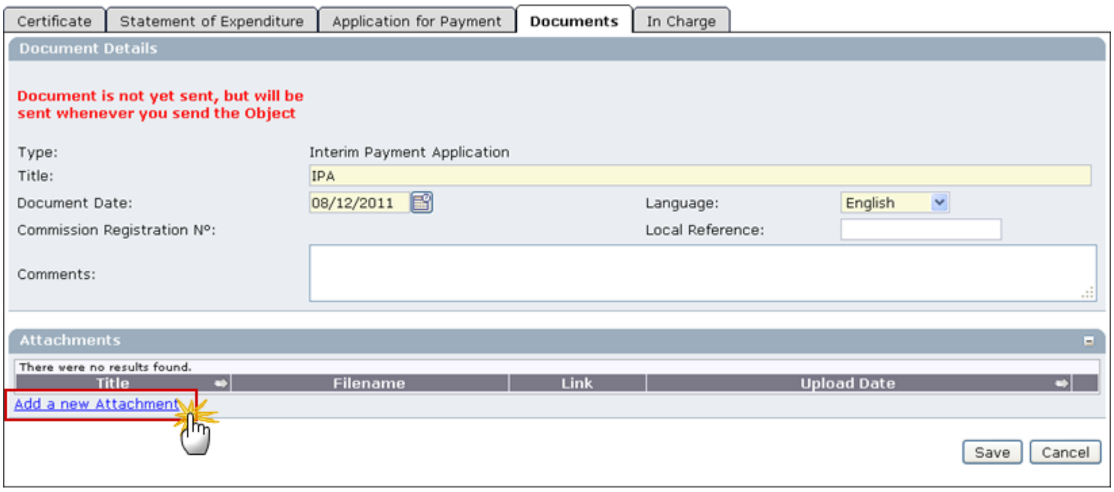


41. Click **Save** to save the entered information **(2)**

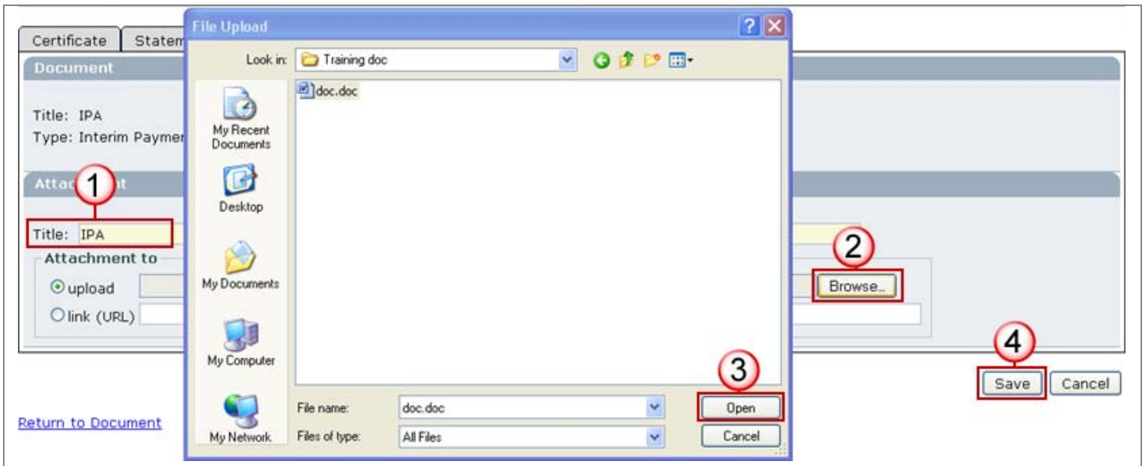
The **Add a New Attachment** link appears.

Step by Step

42. Click on the **Add a New Attachment** link to upload the corresponding files.



43. In the *upload attachments* screen enter the requested information. Fields with asterisk * are mandatory:
    - Enter a **Title*** for your file **(1).**
    - Click **Browse...** * to search for the file in your computer **(2).**
    - Select the file by double clicking on it **(3)**. The path to the file appears in the field.
    - Click **Save** to store the file in SFC2007 **(4).**



44. Click **Save** to save the entered information **(2)**

You are redirected to the Document overview. The general information about the document and the attached file(s) are visible.

Repeat steps 34 and 35 if you need to add more attachments to the document.

Remark	For document of type "Interim Payment Application": They will be automatically sent when the Interim Payment Application is sent. Therefore, the button "**Send official document**" is only available for document type 'Other Member state Document'.

1.8. Adding the officials in charge

Remark	This information is optional

45. Select the **In Charge** tab.

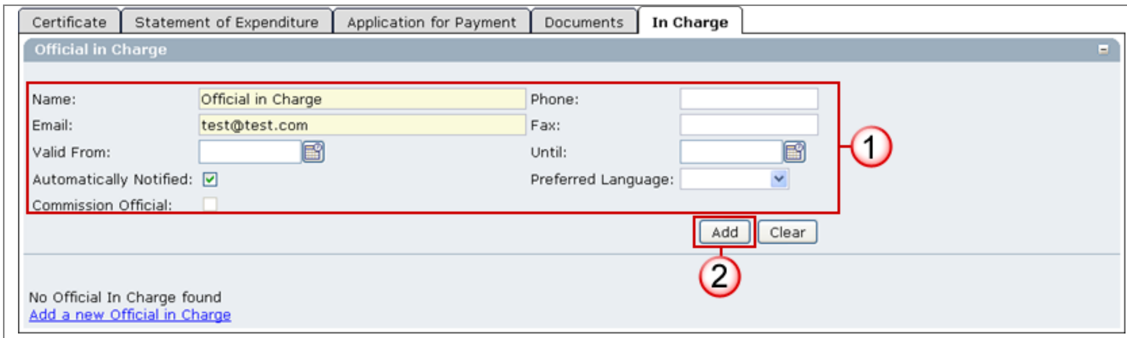
The add officials in charge tab appears.

Step by Step

46. Select the **Add a New Official in Charge** option.

47. 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.

48. Click **ADD** **(2)**

REPEAT THE STEPS TO ADD AS MANY OFFICIALS AS NECESSARY (NO LIMITATION).

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

2. Sign the Certificate of expenditure

Once you have finished entering all the data in the different tabs, you can proceed to the signature of the Certificate of expenditure.

49. If you are in any of the editing tabs, click on **Return of Display** or if you are on the Display screen, scroll down to the Certificate section:

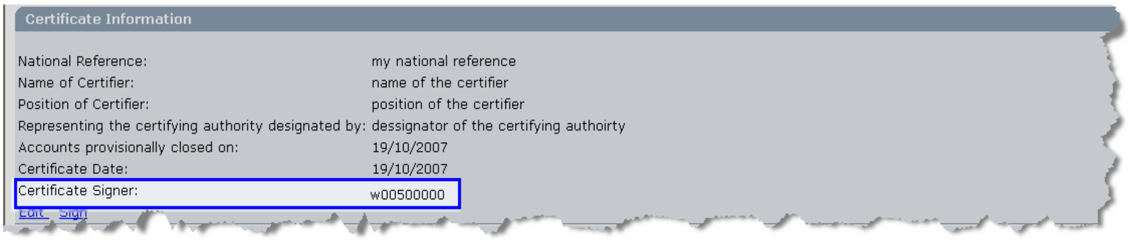
Step by Step

50. The option **Sign** is available. Click on this option.

51. In the next screen, you are requested to confirm the signature.

52. Click **YES** to confirm

REMARK	The signer is the person to which the username is allocated. This username appears on the **CERTIFICATE SIGNER** field after the user has confirmed the signature (step 39 to 41).



3. Sign the Application for Payment

ONCE YOU HAVE FINISHED ENTERING ALL THE DATA IN THE DIFFERENT TABS, YOU CAN PROCEED TO THE SIGNATURE OF THE STATEMENT OF EXPENDITURE.

53. If you are in any of the editing tabs, click on **Return to Display** or if you are on the Display screen, scroll down to the **APPLICATION PAYMENT INFORMATION** section:

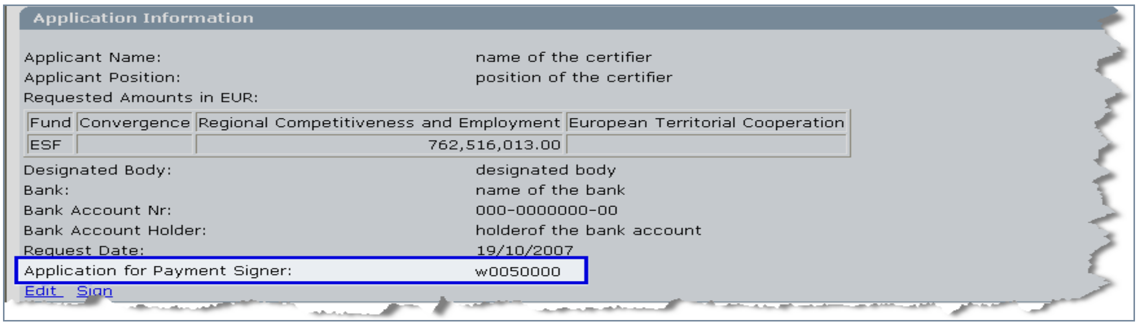
Step by Step

54. The option **Sign** is available. Click on this option.

55. In the next screen, you are requested to confirm the signature.

56. Click **YES** to confirm

REMARK	The signer is the person to which the username is allocated. This username appears on the **APPLICATION FOR PAYMENT SIGNER** field after the user has confirmed the signature.



4. Validate the Interim Payment Application

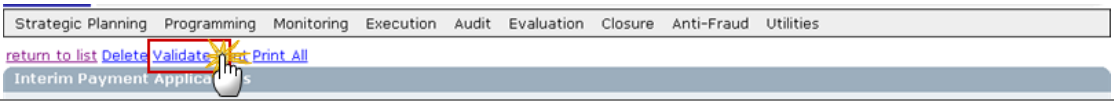
THE VALIDATION IS A TECHNICAL CHECK TO VERIFY THE COMPLETENESS OF THE DATA ENTERED.

57. Click on the option **Return to Display**.

The *Display Interim Payment* screen appears. You have an overview of the dossier and its contents.

Step by Step

58. Click on the **VALIDATE** option.



The system checks the consistency of the data.
The validation results screen appears:

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

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

Validation rules: go to **A. VALIDATION RULES FOR THE INTERIM PAYMENT APPLICATION** data section

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

5. Send the Interim Payment Application to the Commission

ONCE THE INTERIM PAYMENT HAS BEEN VALIDATED (ITS STATUS IS "VALIDATED") IT CAN BE SENT TO THE COMMISSION.

REMARK	Make sure that you have access as **MS Certifying Authority** with **Send** permissions (MSCA S).

59. If you are in any of the editing tabs, click on **Return to Display** or if you are on the Display screen, select the **Send** option in the upper part of the screen.

You are directed to the Send confirmation screen.

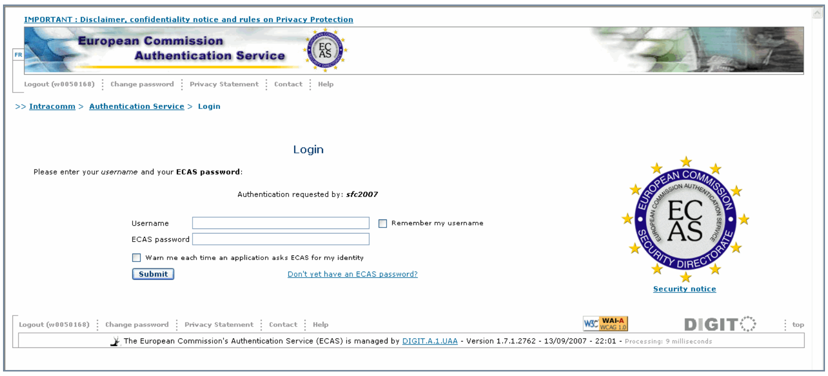
The snapshot report is available (this PDF report contains the screenshot of the data to be sent).

60. Click **Yes** to confirm the Sending

5.1. Signing the sending of the data

AFTER CONFIRMING THE SENDING (STEP 49), YOU ARE REQUESTED TO RE LOG INTO THE APPLICATION. THIS IS THE WAY YOU SIGN THE SENDING OF THE INTERIM PAYMENT APPLICATION.

61. Enter your login and password and click **SUBMIT**



You are redirected to the *Display* screen. The status of the Interim Payment Application is "Sent"

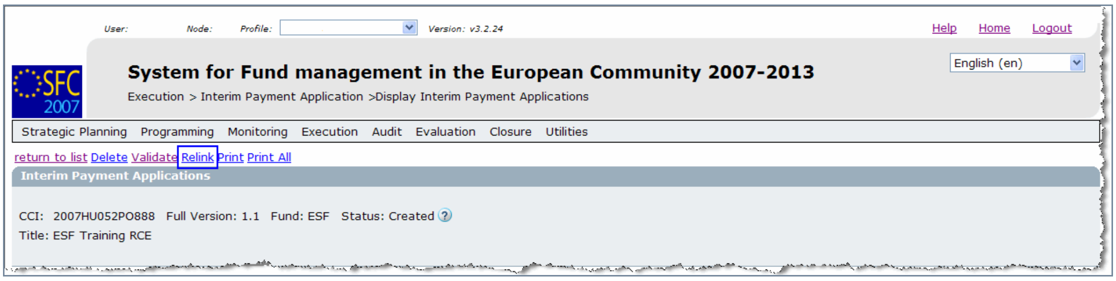
6. Linking an existing IPA to latest adopted Operational Programme Version

REMARK	This occurs when a user wants to link the Statement of Expenditure of the IPA to a more recent adopted Operational Programme. This can occur when the Statement of Expenditure has been input in the system before a new Operational

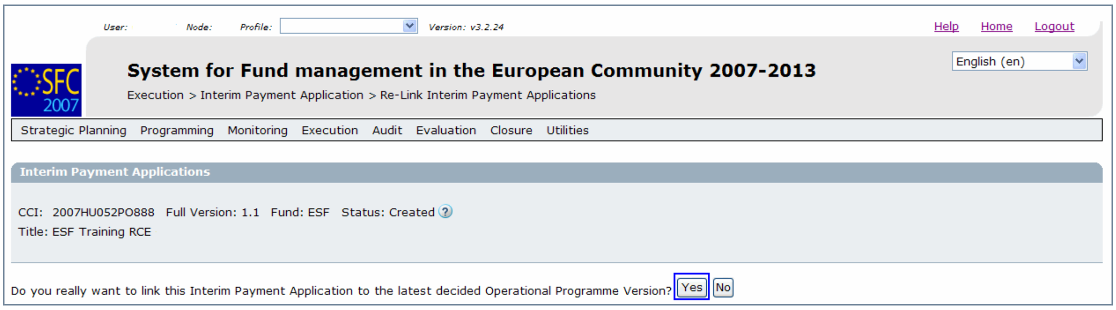
	Programme Version in force has been input. In this case, the structure of the Statement of Expenditure can be realigned with the structure of the new Operational Programme Version.

The IPA must be in status 'Created', 'Validated' or 'Returned'

1. Select the EXECUTION > ERDF/CF, ESF, EFF INTERIM PAYMENT APPLICATION menu
2. The existing version of the dossier appears. Click on its CCI
3. In the display screen, select the **Relink** option in the upper part of the screen.



62. In the next screen, you are requested to confirm linking the IPA to the latest OP version.



63. Click YES to confirm

	you are redirected to the display screen and a new version number appears in the GENERAL section and is increased by 1.

7. Create a new version of the Interim Payment Application

REMARK	A new version of the Interim Payment Application can only be created if the previous version is "Sent" or "Accepted". If the workflow status is not yet "Sent" or "Accepted" you can modify the contents of your existing Interim Payment Application version.

1. Select the EXECUTION > ERDF/CF, ESF, EFF INTERIM PAYMENT APPLICATION menu

64. The existing version of the dossier appears. Click on its CCI

65. In the display screen, select the "Create an new version of the Interim Payment Application"

The new version is created

	you are redirected to the display screen (new version number appears in the GENERAL section and is increased by 1. The status of this new version status is "CREATED".

66. Select any of the "EDIT" buttons in the screen to get to the edit mode.

67. You can add or modify the existing data by overwriting it

REMARK	The Interim Payment amounts are entered on a cumulative basis, which means that for each new version, you have to enter the cumulative amount.

To upload the corresponding documents for the new version, please refer to the **ADD DOCUMENTS** section.

a. Validation rules for the Interim Payment Application data

CODE	VALIDATION	SEVERITY
2.1	Validate that the Interim Payment Application is linked to the last decided Operational Programme Version present at validation time (ERDF, ESF, CF and EFF)	**ERROR**
2.3	Validate that the Accounts Provisionally Closed Date is <= current date (ERDF, ESF, CF and EFF)	**ERROR**
2.4	Validate that the Requested Amounts per Region Type (EFF) are <= the Declared Amounts per Region Type (EFF)	**WARNING**
2.5	Validate that the total amount of expenditure over Priorities = total amount of expenditure over Years (EFF)	**ERROR**
2.6	Validate that the Statement of Expenditure contains a Transitional Support repartition when the linked Operational Programme Version has this repartition (ERDF, ESF)	**ERROR**
2.7	Validate that the Statement of Expenditure per Priority only contains all Priorities present in the linked Operational Programme Version. The amounts itself in the Statement are not mandatory (ERDF, ESF, CF and EFF)	**ERROR**
2.8	Validate that the Statement of Expenditure per Year only contains all Years between the Eligibility Start Year and the smallest of current Year and Eligibility End Year (EFF)	**ERROR**
2.10	Validate that there is no open Interim Payment Application at Commission Level (ERDF, ESF, CF and EFF)	**WARNING**
2.11	Validate that the Statement of Expenditure per Priority only contains all Region Types present in the linked Operational programme Version (EFF)	**ERROR**
2.13	Validate that if a Transitional Support Detail exists, the Total Expenditure and Public Expenditure over this Transitional Detail is equal to the Total Expenditure and Public Expenditure over the Priorities (ERDF, ESF)	**ERROR**
2.14	Validate that Certifier Name and Position, Designator, Accounts Closed Date, Applicant Name and Position, Designated Body, Bank and Bank Account N° are provided (ERDF, ESF, CF and EFF)	**ERROR**
2.15	Validate that community contribution per priority in the Statement of Expenditure is <= community contribution per priority present in the linked Operational Programme Version (ERDF, ESF, CF and EFF) . This has a side effect for ERDF/CF and ESF Payment Requests, where the community contribution has to be calculated: If calculation basis = total cost, then community contribution is the smallest of (cofinancing rate * Total Expenditure) and Public Amount. If calculation basis = public cost, then community contribution is cofinancing rate * Public Amount.	**WARNING**

2.17	Validate that the required Annual Implementation Report was uploaded and sent to the Commission starting from 30/06/2008. For an Interim Payment Application sent before 01/07/YYYY, the required Annual Implementation Report is the one from the current year - 2. For an Interim Payment Application sent after 30/06/YYYY, the required Annual Implementation Report is the one from the current year - 1 (ERDF, CF, ESF and EFF)	**WARNING**
2.20	Validate that in the Statement of Expenditure per Priority, the Total Expenditure is >= EFF Contribution + National Contribution (EFF)	**ERROR**
2.21	Validate that the Certificate and the Application for Payment are signed by a valid application user (ERDF, CF, ESF and EFF): ▪ When on highest Member State node ▪ When on a lower Member State node	 **ERROR** **WARNING**
2.26	Validate that Public Amount and Total Amount of Technical Assistance is >= Public Amount and Total Amount over Technical Assistance Priorities and <= Public Amount and Total Amount over all Priorities (ERDF, CF, ESF)	**ERROR**
2.27	Validate that a Management and Control Systems Dossier has been sent to the Commission containing this Operational Programme (ERDF, ESF, CF and EFF)	**ERROR**
2.28	Validate that at least one Member State Official in Charge exists	**WARNING**
2.30	validate that in the Statement of Expenditure per Priority, the Total Expenditure is >= Public Amount, the Total Expenditure related to art.78(6) is >= Public Amount related to art.78(6), the Total Expenditure related to art.78(2) is >= Public Amount related to art.78(2) (ERDF/CF and ESF)	**ERROR**
2.32	Validate that the sum of requested amounts over the objectives covered by the Programme in the Application for Payment is not null and > 0 (ERDF/CF, ESF, EFF)	**ERROR**
2.33	Validate that Certificate Date is >= eligibility start date <= eligibility end date + 15 months ; validate that Request Date is >= certificate date ; validate that Request Date is >= accounts provisionally closed date ; validate that Request Date is >= Request Date of previous version; validate that Request Date is <= sysdate so that it is <= send date; validate that accounts provisionally closed date <= Certificate Date; all these dates are mandatory (ERDF/CF, ESF, EFF)	**ERROR**

b. Workflow of the Interim Payment Application data

Action	Status	Editable by the MS?
The MS creates the Interim Payment Application	Created	Yes
The MS Validates the data entered for the Interim Payment Application	Validated	Yes
The MS Sends the Interim Payment Application to the Commission	Sent	Only the "Officials in charge" section and uploading of "other MS documents"
The Commission Returns the Interim Payment Application for correction	Returned (for correction)	Yes
The Commission accepts the Interim Payment Application	Accepted	Only the "Officials in charge" section and uploading of "other MS documents"
Final Status of the Interim Payment Application dossier	**ACCEPTED**	**Only the "Officials in charge" section and uploading of "other MS documents"**

c. Glossary