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## **Annual Control Report (IGJ/ETC, EMFF, FEAD, IPACB & ENICB)**

### **PURPOSE OF THIS FUNCTIONALITY**

This document describes the different steps and action options at the level of the Commission for the Annual Control Report (ACR) in relation to the Legality and Regularity procedure under the **Regulation (EU) No 1303/2013** and more specific those related to IGJ/ETC, EMFF, IPACB & ENICB and under the **Regulation (EU) No 223/2014** in case of FEAD.

The Annual Control Report needs to be submitted together with the assurance package before the **15<sup>th</sup> of February** of each year.

### **CONCERNED FUNDS**

IGJ, ETC, EMFF, FEAD, IPACB, ENICB

## **USER ROLES AND PERMISSIONS NEEDED**

You are an identified user in SFC2014 and you have the role of **EC Audit Agent (ECAA)** with update access to update.

## **BEFORE YOU START, CHECK THAT...**

The Annual Control Report IGJ/ETC, EMFF, FEAD, IPACB & ENICB have been sent to the Commission: The status is set to **'SENT'**

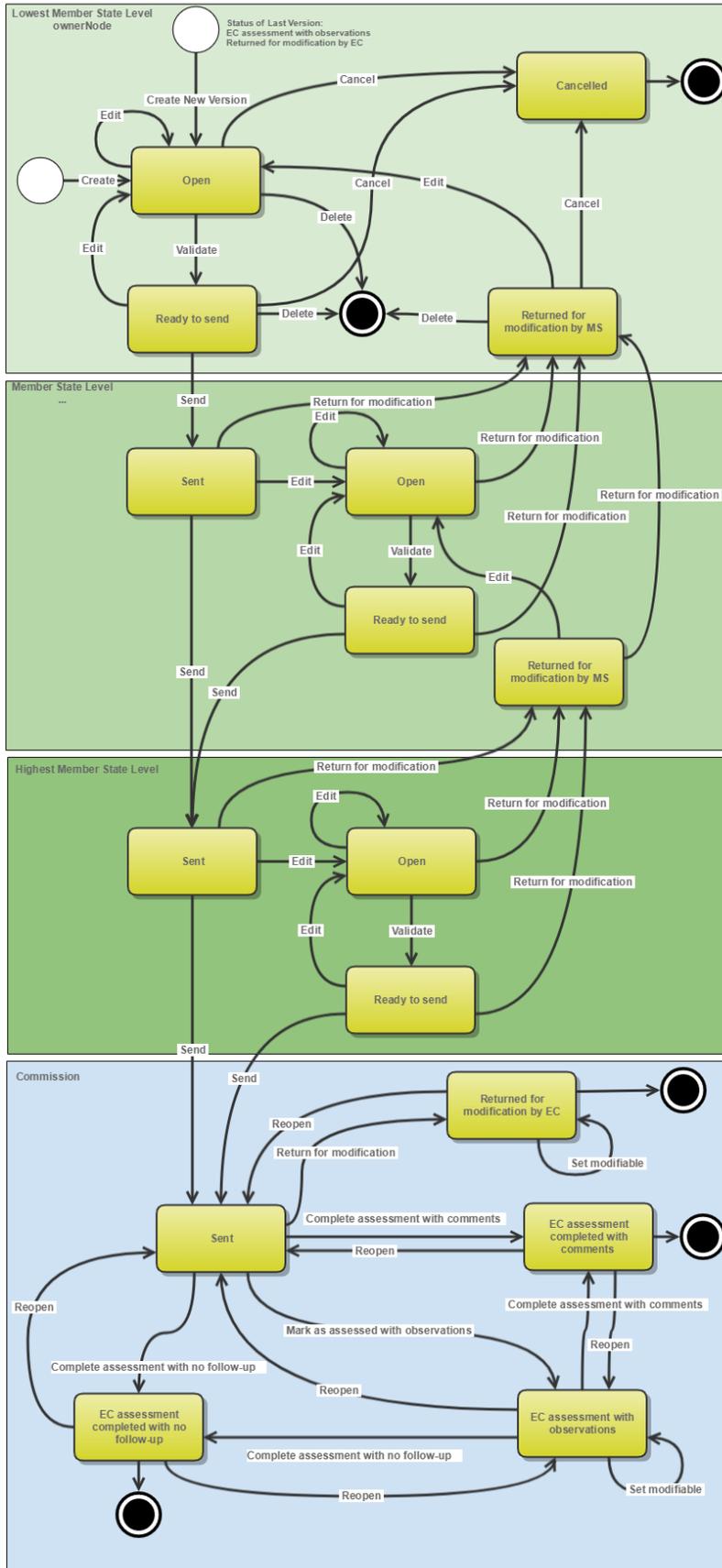
## **Workflow**

This section shows the lifecycle to create and manage the Annual Control Report.

There are no modifying reports once they have been submitted. The Commission cannot change a report – only respond.

Click [here](#) to see the Annual Control Report workflow diagram in high resolution.

# Control Report Diagram



## Documents

### *Document Types*

The following document types will be foreseen:

<b>Description</b>	<b>Internal Code</b>	<b>Direction</b>	<b>Integral</b>	<b>Non-Integral</b>	<b>System</b>	<b>Required</b>
Other Commission Document*	CR.OC	EC2MS		X		
Other Commission internal document	CR.OI	ECInternal		X		
Acknowledgment of receipt	ACK.CRSNT	EC2MS			X	X
EC assessment letter	CR.EAL	EC2MS	X			X
Official Commission's observations	CR.OCO	EC2MS	X			

\*This documents have a read restrict: EC user can indicate that the document is only for Auditors or only for Managing Authorities or Certifying Authorities or for all of them.

### *Upload using Commission/ARES Reference*

As a Commission user you can import your document directly from ARES to be uploaded in SFC2014 by entering the ARES reference number in the **Commission Reference** field (in the documents section). The ARES number will be immediately validated.

Document details □ ×

📧 Not yet sent

Document type\*  1

Title\*  2

Document date\*  3

Local reference

Commission reference  4

**Attached files**

TITLE	LANGUAGE	FILENAME
911506.911508 ACK.PRGSNT Programme Acknowledgement 2014DE65ISNP001 1.0 de-Programme_Acknowledgement_2014DE65ISNP001_1_0_de.pdf	German	<a href="#">911506.911508 ACK.PRGSNT Programme Acknowled...</a>

5

1. Enter the following information:

- (1) Choose the *Document type* (if applicable)
- (2) Enter the *Title*
- (3) Enter the *Document Date*
- (4) Enter the *Commission Reference* ARES number

The system will detect the document(s) from ARES and the attachments will be automatically uploaded

(5) Click [Yes](#) to confirm the action

<b>REMARK</b>	<p>If you get an "invalid ARES number" (the number cannot be found in ARES), check the ARES number has been entered correctly: <u>Ares(2015)+digits</u> with no space.</p> <p>If the ARES reference has been entered correctly, then check that the Document has been filed correctly in ARES.</p> <p>If the problem persists, please provide us with the document ARES number, the 'type' of document you are trying to upload in SFC2014, and the CCI of the Programme. We can then verify if there is a problem with the registration.</p>
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## Hiding Attachments Uploaded from ARES

Attachments can also be hidden once the Commission Documents have been imported from ARES, so that the receiver will not be able to view them:

Attached files

LANGUAGE	FILENAME	HIDE CONTENT
German	877616.877618 SNP.PRG.SNT Programme Snapshot 2014DE05M9OP001 1.0 de-Programme_Snapshot_2014DE05M9OP0	<input type="checkbox"/>
English	875368.875370 PRG.EEVA e-admin 1.xps	<input checked="" type="checkbox"/>

1. Scroll right (1) and select the **HIDE CONTENT** option (2) and click on [Update](#) (3) to hide the attached file

<b>REMARK</b>	If the ARES document <b>has already been sent</b> it cannot be deleted, but the sender can decide to hide the content for the Member State in case of an erroneous and/or accidental send. The ARES document must be a non-integral document.
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2. In the Documents Section (under the 'General' Section) select a row (1) of a previously sent ARES document and click on the **EDIT** button  (2):

**GENERAL**

Documents annexed 

TITLE	DOCUMENT TYPE	DOCUMENT DATE	LOC
Jährlicher Kontrollbericht	Annual control report	23-Dec-2016	
Control report Snapshot of data before send 881 2015.0	Snapshot of data before send	23-Dec-2016	
Control report Acknowledgement of receipt 881 2015.0	Acknowledgement of receipt	23-Dec-2016	
Clarifications	EC request for clarifications	23-May-2017	

3. Select the **HIDE CONTENT** option and click on [Update](#) to hide the ARES document.

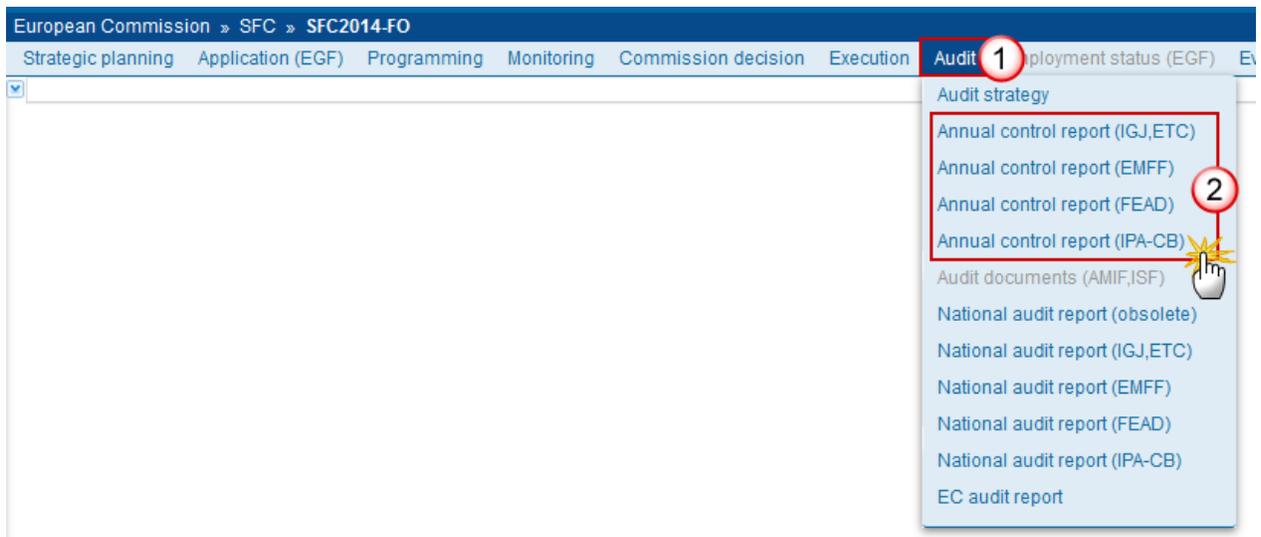
### Attached files

TITLE	LANGUAGE	FILENAME	HIDE CONTENT
Clarifications	English	<a href="#">Report.doc</a>	<input checked="" type="checkbox"/> 1



## Action Options

1. Login to <https://webgate.ec.europa.eu/sfc2014/frontoffice/ui>
2. To access into the **ANNUAL CONTROL REPORT (ACR) (IGJ/ETC, EMFF & FEAD)** section, first click on the **Audit** link (1) in the menu and then on the [Annual Control Report \(IGJ, ETC\)](#), [Annual Control Report \(EMFF\)](#), [Annual Control Report \(FEAD\)](#), [Annual Control Report \(IPACB\)](#) or [Annual Control Report \(ENICB\)](#) link.



3. Choose the Annual Control Report IGJ/ETC, EMFF, FEAD, IPACB or ENICB version you want from the list in the search screen (1) and click on [Show control report](#) link (2)

European Commission » SFC » SFC2014-FO » Audit » Annual control report (IGJ,ETC)

Strategic planning   Programming   Monitoring   Execution   Audit   Evaluation   Closure   Anti-fraud   Utilities

**Search**

Title  Status

Version  Previous node

Work version  Current node

CCI  ID

Search Clear

Show control report Export to excel

ID	TITLE	VERSION	STATUS	STATUS DATE	PREVIOUS NODE	CURRENT NODE	LAST MODIF
185	BER-First ACR 14-01	2014.0	Open	14-Jan-2016	Germany (EAFRD+EMFF)	Germany (EAFRD+EMFF)	14-Jan-2016
184	Annual Control Report	2014.0	Sent	14-Jan-2016	Germany	European Commission	14-Jan-2016
182	THU - ACR - 14-01-16	2014.0	Open	14-Jan-2016	Germany	Germany	14-Jan-2016

A number of Action Options are available:

Return for modification Mark as assessed with observations Complete assessment with comments Complete assessment with no follow-up

Filter

**GENERAL**

**Version information**

Title IAC Y DICTAMEN 2017-2018 PO FSE LA RIOJA

ID 3,761 Version 2017.0

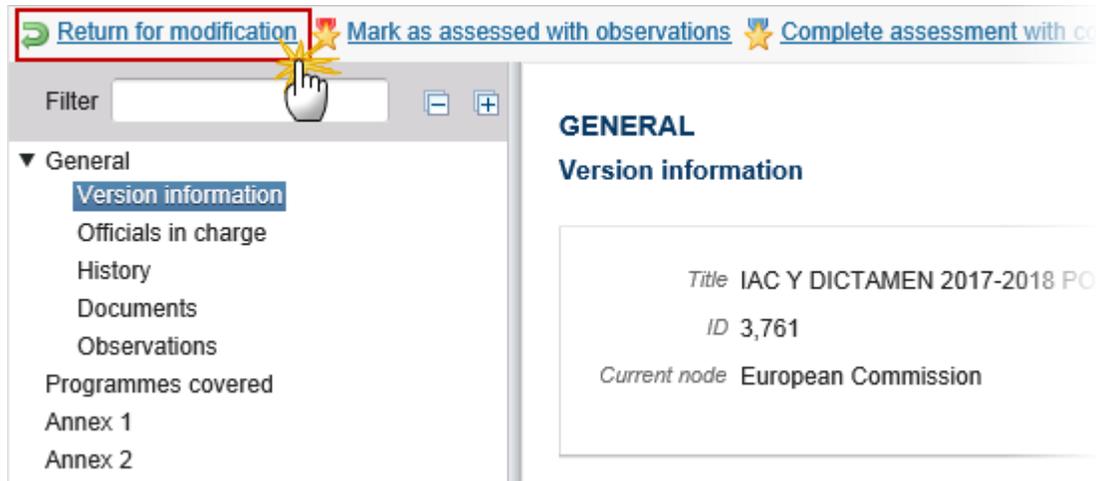
Current node European Commission Status Sent

- (1) [Return for modification](#)
- (4) [Complete assessment with no follow-up](#)
- (3) [Complete assessment with comments](#)
- (2) [Mark as assessed with observations](#)

## Return for modification by EC

When an EC Audit Agent wants to return the Annual Control Report version sent by the Member State/Region because it is incomplete and needs to be modified can return it for modification.

1. Click on the [Return for modification](#) link:



During the return by the Commission, the agent **optionally** add a document "**Official Commission's Observations**" (CR.OCO) with attachments that will be sent together with this action to the Member State.

During the return by the Commission, the agent should also indicate which elements can be modified in the next version. At least one element needs to be selected.

This can be done either by using the Commission [Reference ARES](#) number OR by manually uploading the documents.

2. The system will ask you to confirm the action.

**Confirm return for modification**

Title Ataskaita dėl 2014-2020 m. Europos Sąjungos fondų investicijų veiksmų programos įgyvendinimui su

Version 2016.0

Reason for return \* Reason for Return **1**

Allow to modify the following elements in the next version

Control report structured data  **2**

Control report document

Document to be send with this action to the Member State

Title Return for modification **3**

Document date 21-Jan-2019 **4**

Local reference

Commission reference

**5** restricted to the following authorities (if left empty, default will apply)

AUTHORITY	
<input type="checkbox"/>	Audit authority <b>6</b>

**7** Attached files

TITLE	LANGUAGE	FILENAME
<input type="checkbox"/> Return for modification <b>8</b>	English <b>9</b>	Select file to upload <b>10</b>

Do you really want to return this control report version?

**11**  Yes  No

3. Enter the following information:

**(1)** Enter the reason for return.

**(2)** Indicate which elements could be modified in the next version.

During the return by the Commission, the agent should also indicate which elements can be modified in the next version. At least one element needs to be selected.

(3) Enter the *Title of document*

(4) Select the *document date*

(5) You can select if this document is the read permission restricted to certain of the 3 authorities (Audit authorities, Certifying Authorities or Managing Authorities). If left empty, default will apply. Thus will be sent to all the 3 authorities with the roles & funds & node needed.

Click on the Add button  to select the restricted authorities.

(6) Select the restricted authorities.

(7) Click on the Add button  to add the documents

(8) Enter the *Title*

(9) Enter the *Language*

(10) Select the *file to upload* from your PC

(11) Click [Yes](#) to confirm the action and return the ACR to the Member State.

On success, the Annual Control Report version has been set in status '**RETURNED FOR MODIFICATION BY EC**'.

## Complete assessment with no follow-up

An EC Audit Agent with Update access can complete the assessment of the Annual Control Report and indicate there is no follow-up needed.

The Annual Control Report is in a status '**SENT**' at the level of the Commission, or '**EC ASSESSMENT COMPLETED WITH OBSERVATIONS**' and no newer version exists.

1. Click on the [Complete assessment with no follow-up](#) link:

[Return for modification](#) [Mark as assessed with observations](#) [Complete assessment with comments](#) [Complete assessment](#)

Filter

- General
  - Version information**
  - Officials in charge
  - History
  - Documents
  - Observations
  - Programmes covered
  - Annex 1
  - Annex 2

### GENERAL

#### Version information

<i>Title</i>	IAC Y DICTAMEN 2017-2018 PO FSE LA RIOJA		
<i>ID</i>	3,761	<i>Version</i>	2017.0
<i>Current node</i>	European Commission	<i>Status</i>	Sent

The system will ask you to confirm the action.

### Complete assessment with no follow up

*Title* ACR\_Edwin\_2018 1E18RFOP001

*Version* 2017.0

Do you really want to complete the assessment with no follow up?

2. Click [Yes](#) to confirm the action and complete the assessment with no follow up.

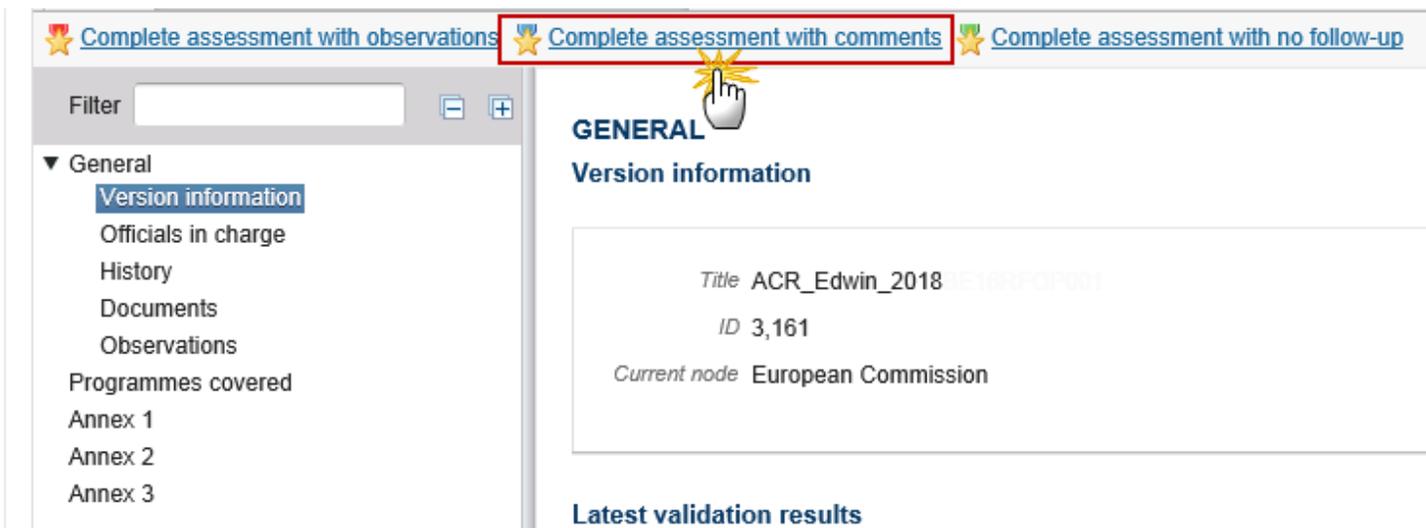
On success, the Annual Control Report version status was set to 'EC ASSESSMENT COMPLETED WITH NO FOLLOW-UP'.

## Complete assessment with comments

When an EC Audit Agent with Update access wants to complete the assessment of the Annual Control Report and send some comments to the Member State.

The Annual Control Report is in a status 'SENT' at the level of the Commission, or 'EC ASSESSMENT COMPLETED WITH OBSERVATIONS' and no newer version exists.

1. Click on the [Complete assessment with comments](#) link:



The system will ask you to confirm the action.

During this action by the Commission, the agent **must** add a document "EC Assessment letter" (CR.EAL) with attachments that will be sent together with this action to the Member State

This can be done either by using the Commission Reference ARES number OR by manually uploading the documents.

### ***Attach EC assessment letter***

After clicking on the [complete assessment with comments](#) link the confirmation screen appears:

## Complete assessment with comments

Title ACR\_Edwin\_2018 1616RPOP001

Version 2017.0

Document to be send with this action to the Member State

Title *	<input type="text" value="Title"/>	1				
Document date *	<input type="text" value="17-Dec-2018"/>	2				
Local reference	<input type="text"/>					
Commission reference	<input type="text"/>	3				
A	4 restricted to the following authorities (If left empty, default will apply)					
<input type="checkbox"/>	<input type="text" value="Managing authority"/>	5				
A	6 ed files					
<input type="checkbox"/>	<input type="text" value="Title"/>	<input type="text" value="English"/>	<input type="text" value="Select file to upload"/>	7	8	9

Do you really want to complete the assessment with comments?



2. Enter the following information:

- (1) Enter the *Title*
- (2) Select the *document date*
- (3) Enter the *Commission Reference* ARES number

The system will detect the document(s) from ARES and the attachments will be automatically uploaded OR (to manually upload attachments).

(4) You can select if this document is the read permission restricted to certain of the 3 authorities (Audit authorities, Certifying Authorities or Managing Authorities). If left empty, default will apply. Thus will be sent to all the 3 authorities with the roles & funds & node needed.

Click on the Add button  to select the restricted authorities.

(5) Select the restricted authorities.

(6) Click on the Add button  to add the documents

(7) Enter the *Title*

(8) Enter the *Language*

(9) Select the *file to upload* from your PC

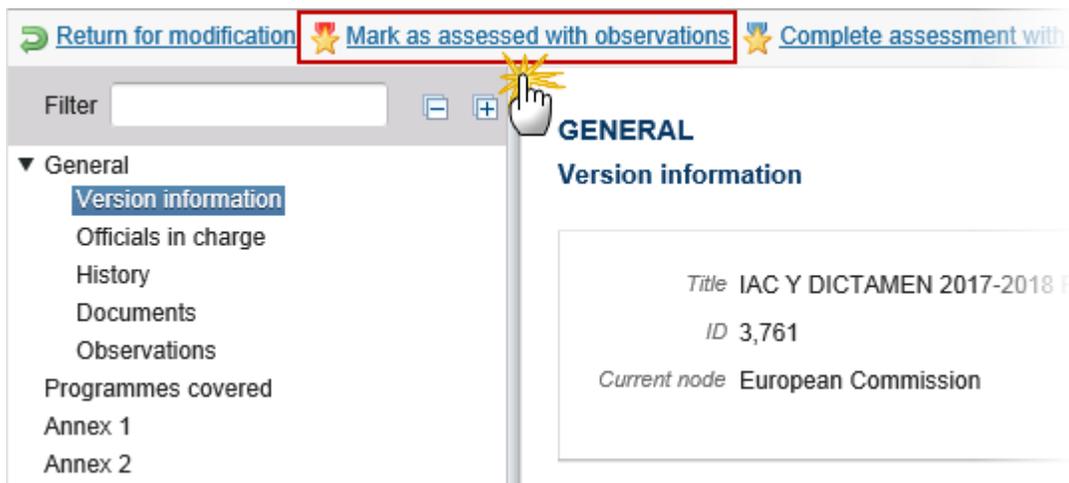
(10) Click [Yes](#) to confirm the action and complete the assessment with comments.

On success, the Annual Control Report version status was set to 'EC ASSESSMENT COMPLETED WITH COMMENTS'.

## Mark assessed with observations

When an EC Audit Agent with Update access wants to mark the end of the assessment of the Annual Control Report and send observations.

1. Click on the [mark as assessed with observations](#) link.



The screenshot shows a web application interface. At the top, there are three navigation links: 'Return for modification' (with a blue arrow icon), 'Mark as assessed with observations' (with a yellow star icon and highlighted in a red box), and 'Complete assessment with' (with a blue star icon). Below the navigation bar is a 'Filter' input field and two small icons (minus and plus). A mouse cursor is pointing at the 'Mark as assessed with observations' link. On the left side, there is a vertical navigation menu under the heading 'General'. The menu items are: 'Version information' (highlighted in blue), 'Officials in charge', 'History', 'Documents', 'Observations', 'Programmes covered', 'Annex 1', and 'Annex 2'. The main content area on the right is titled 'GENERAL' and 'Version information'. It contains a box with the following information: 'Title IAC Y DICTAMEN 2017-2018', 'ID 3,761', and 'Current node European Commission'.

The system will ask you to confirm the action.

During this action by the Commission, the agent **must** add a document "**EC Assessment letter**" (CR.EAL) with attachments that will be sent together with this action to the Member State. During this action the agent can also indicate which elements could be modified in the next version.

This can be done either by using the Commission Reference ARES number OR by manually uploading the documents. During this action by the Commission, the EC Audit Agent user can also indicate which elements could be modified in the next version.

### ***Attach EC assessment letter***

After clicking on the [mark as assessed with observations](#) link the confirmation screen appears:

## Complete assessment with observation

Title ACR\_Edwin\_2018BE16RFOP001

Version 2017.0

Allow to modify the following elements in the next version

Control report structured data **1**  
 Control report document

Document to be send with this action to the Member State

Title  **2**  
Document date  **3**  
Local reference   
Commission reference  **4**

**5** restricted to the following authorities (if left empty, default will apply)

AUTHORITY	
<input type="checkbox"/>	<input type="text" value="Audit authority"/> <b>6</b>

**7** Attached files

	TITLE	LANGUAGE	FILENAME	
<input type="checkbox"/>	<input type="text" value="Title"/> <b>8</b>	<input type="text" value="English"/> <b>9</b>	null	<input type="button" value="Select file to upload"/> <b>10</b>

Do you really want to complete the assessment with observation?

**11**  
 Yes  No

2. Enter the following information:

- (1)** Indicate which elements could be modified in the next version (it is not mandatory to select any of them).
- (2)** Enter the *Title*
- (3)** Select the *document date*
- (4)** Enter the *Commission Reference* ARES number

The system will detect the document(s) from ARES and the attachments will be automatically uploaded

OR (to manually upload attachments).

(5) You can select if this document is the read permission restricted to certain of the 3 authorities (Audit authorities, Certifying Authorities or Managing Authorities). If left empty, default will apply. Thus will be sent to all the 3 authorities with the roles & funds & node needed.

Click on the Add button  to select the restricted authorities.

(6) Select the restricted authorities.

(7) Click on the Add button  to add the documents

(8) Enter the *Title*

(9) Enter the *Language*

(10) Select the *file to upload* from your PC

(11) Click [Yes](#) to confirm the action and send the final position documents to the Member State.

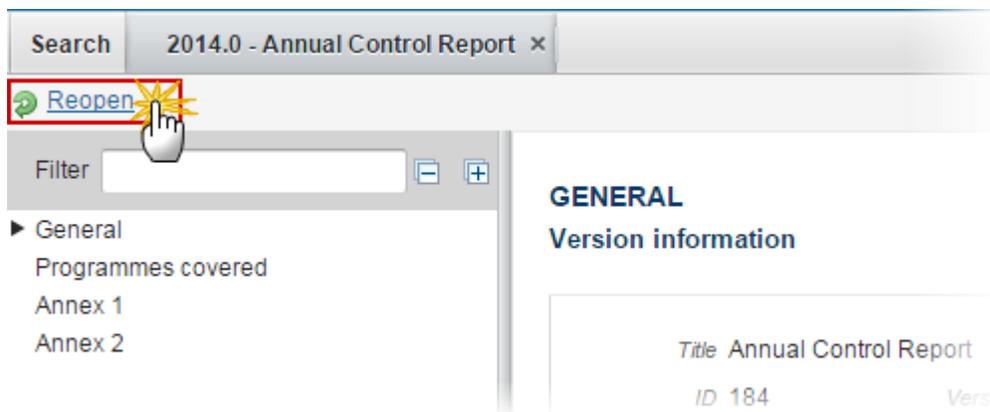
On success, the Annual Control Report version status was set to '**EC ASSESSMENT WITH OBSERVATIONS**'.

## Reopen Annual Control Report

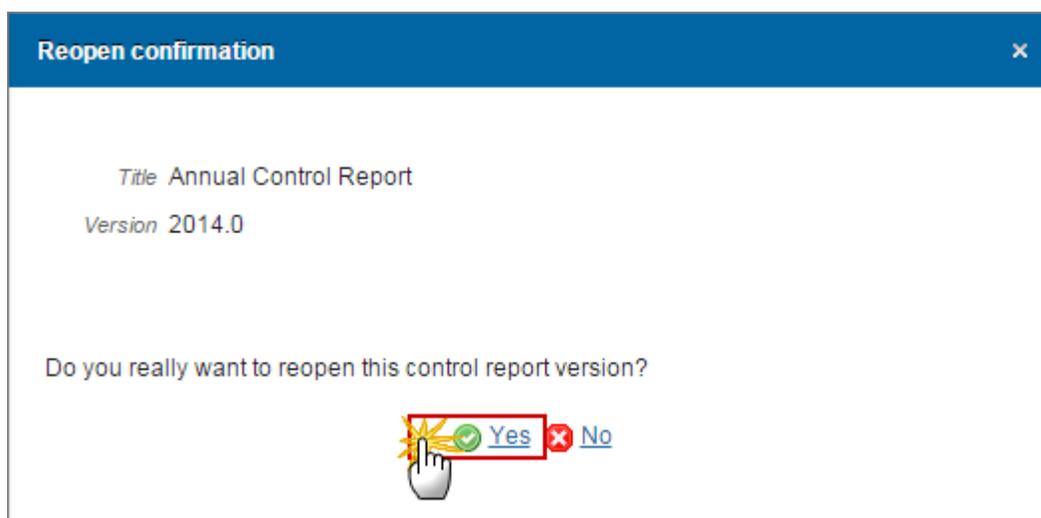
An EC Audit Agent with Update access is allowed to reopen the ACR version in order to undo the last action performed on the ACR by returning to the previous status of the ACR version

<b>REMARK</b>	The Accounts version is in a status ' <b>EC ASSESSMENT COMPLETED WITH NO FOLLOW-UP</b> ', ' <b>EC ASSESSMENT COMPLETED WITH COMMENTS</b> ', ' <b>EC ASSESSMENT WITH OBSERVATIONS</b> ' or ' <b>RETURNED FOR MODIFICATION BY EC</b> '. No more recent Annual Control Report version for the same ID exists.
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1. Click on the [Reopen](#) link:



The system will ask you to confirm the reopen action:



2. Click [Yes](#) to confirm the action and return to the previous status.

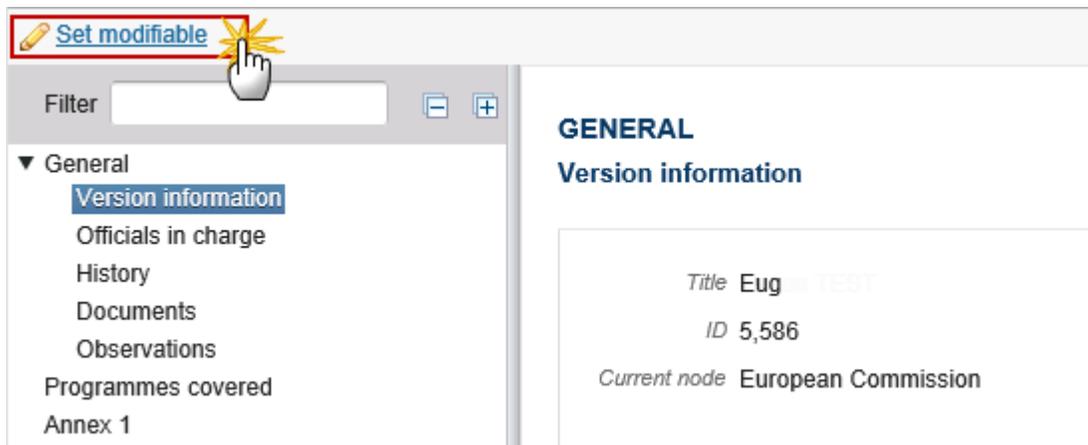
On success, the ACR version has been reopened and its status was set to its previous status.

## Set Modifiable Elements

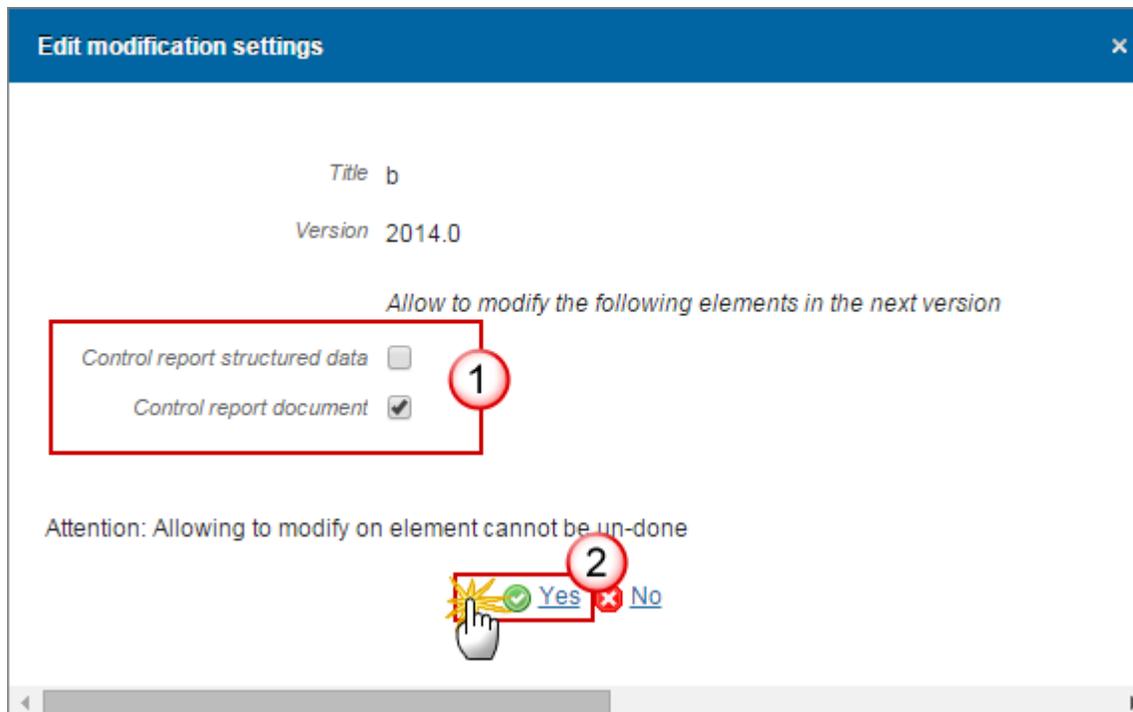
This situation can occur when the Commission has already assessed the ACR version with observations but wants to modify which elements can be modified by the MS in their next ACR version for this Financial Year.

<b>REMARK</b>	<p>The Annual Control Report version is in a status '<b>EC ASSESSMENT WITH OBSERVATIONS</b>' OR '<b>RETURNED FOR MODIFICATION BY EC</b>'.</p> <p>The ACR version is the last one with this ID or is followed by a new version which still resides in the Member State.</p> <p>When the Annual Control Report version is not the last version for the financial year, then elements can only be set, not un-set because un-setting could interfere with actions by the MS on enabled elements.</p>
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1. Click on the [Set modifiable](#) link.



The system will ask you to confirm the action:



2. Enter the following information:

(1) Tick the checkboxes for the modifiable elements.

At least one element needs to be selected.

(2) Click [Yes](#) to confirm which elements can be modified or [No](#) to return to the ACR.

On success, the checkboxes indicating which elements can be modified in a next version have been modified. The status doesn't change.