Financial Data (IPA-CB)

PURPOSE

This document describes the specifications and details related to the Payment Forecast for IPA-CB. For IPA-CB, the Payment Forecast is part of the Financial Data (Art.112 of CPR and Art.42 CIR 447/2014).

REGULATIONS

More detail regarding the regulation of the **FINANCIAL DATA** can be found in '**About SFC2014**' section of this portal. The specific Articles regarding Financial Data:

Article 112 of Common Provisions **Regulation (EU) No 1303/2013**

ROLES

Roles involved in the Financial Data are:

MS Certifying Authority MS Managing Authority	Record Financial Data Upload Financial Data Consult Financial Data Delete Financial Data Validate Financial Data Send Financial Data Return Financial Data Create New Version of Financial Data

FUNDS

IPA-CB			

PRE-CONDITIONS

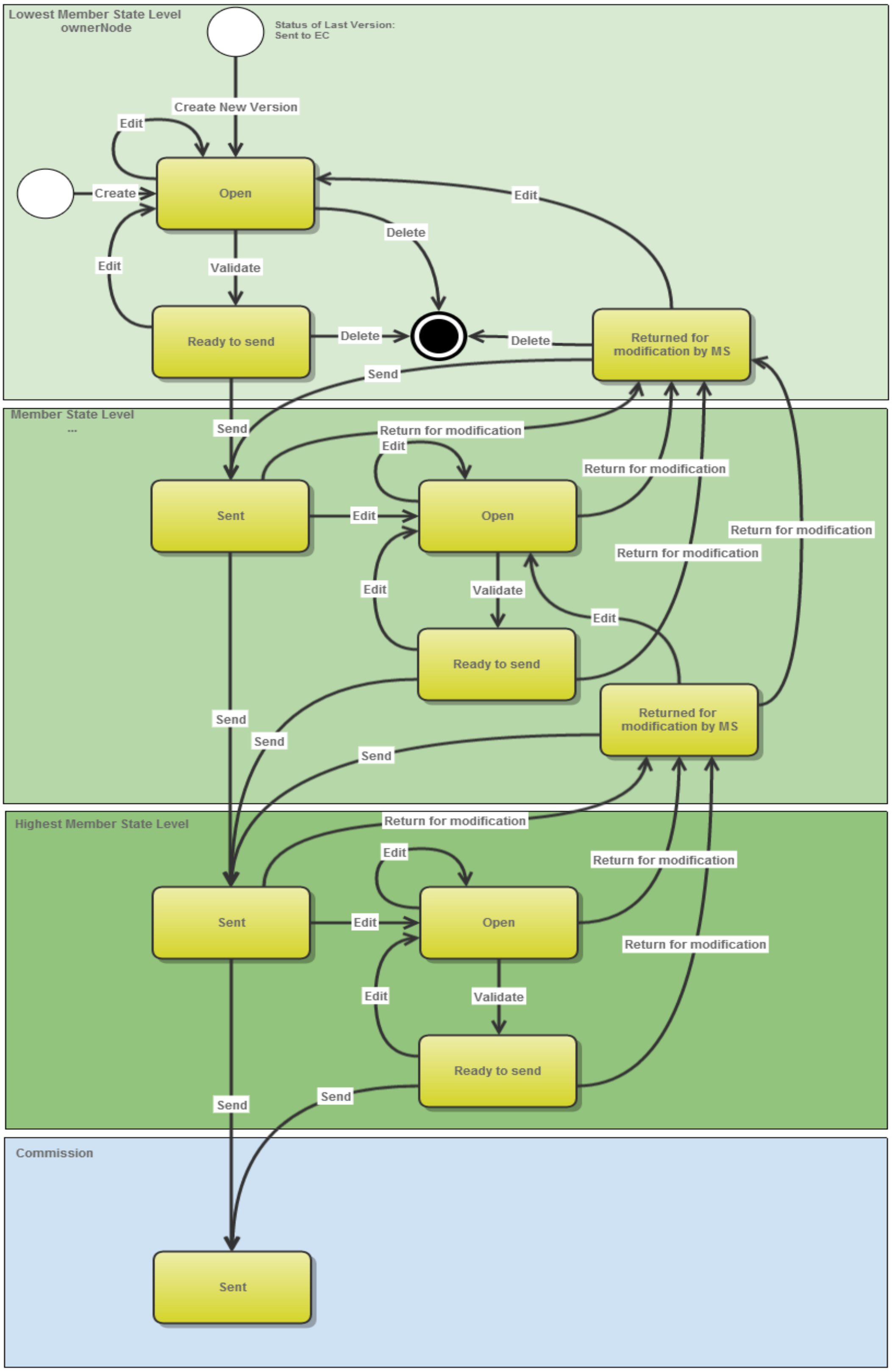
For a Financial Data, there must be an Operational Programme version **'ADOPTED BY EC'** before it can be created.

When editing a version of a Financial Data, its status must be **'OPEN'**, **'READY TO SEND'**, **'SENT'** or **'RETURNED FOR MODIFICATION BY MS'.**

Workflow

This section shows the lifecycle to create and manage a Financial Data.

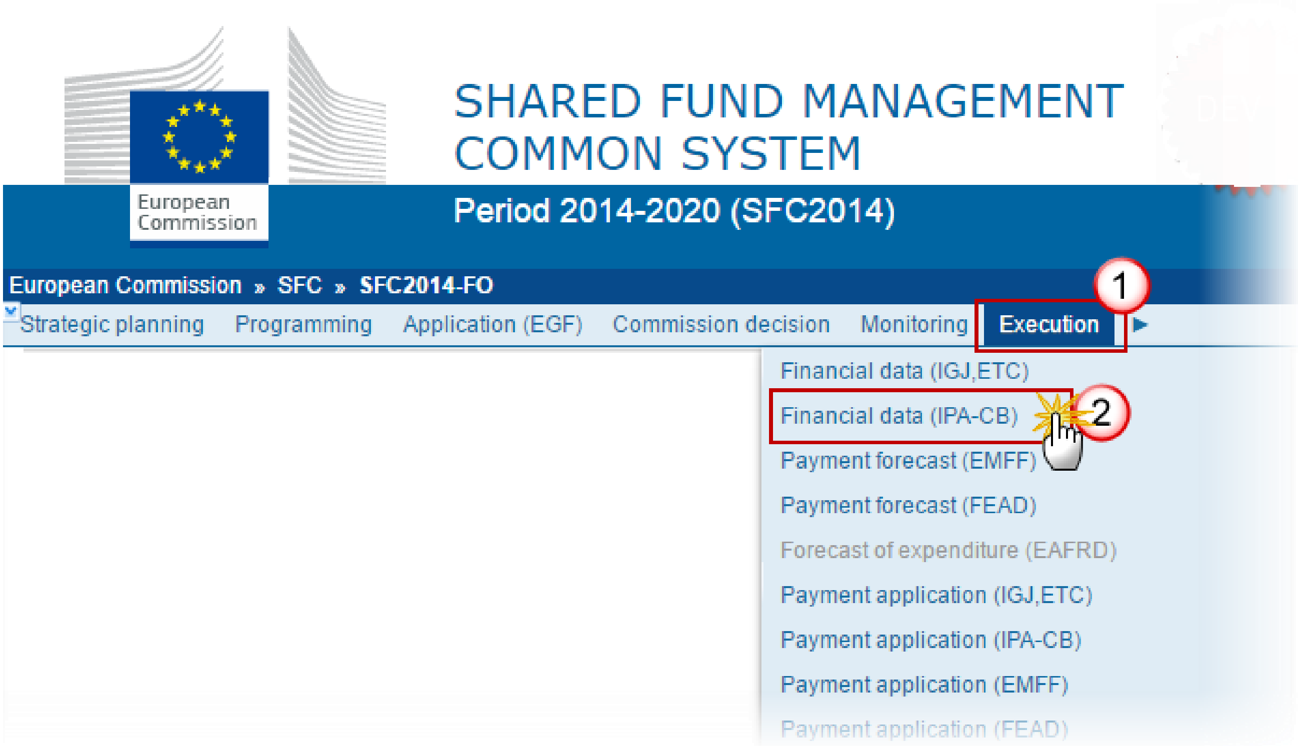
Payment Forecast State Diagram



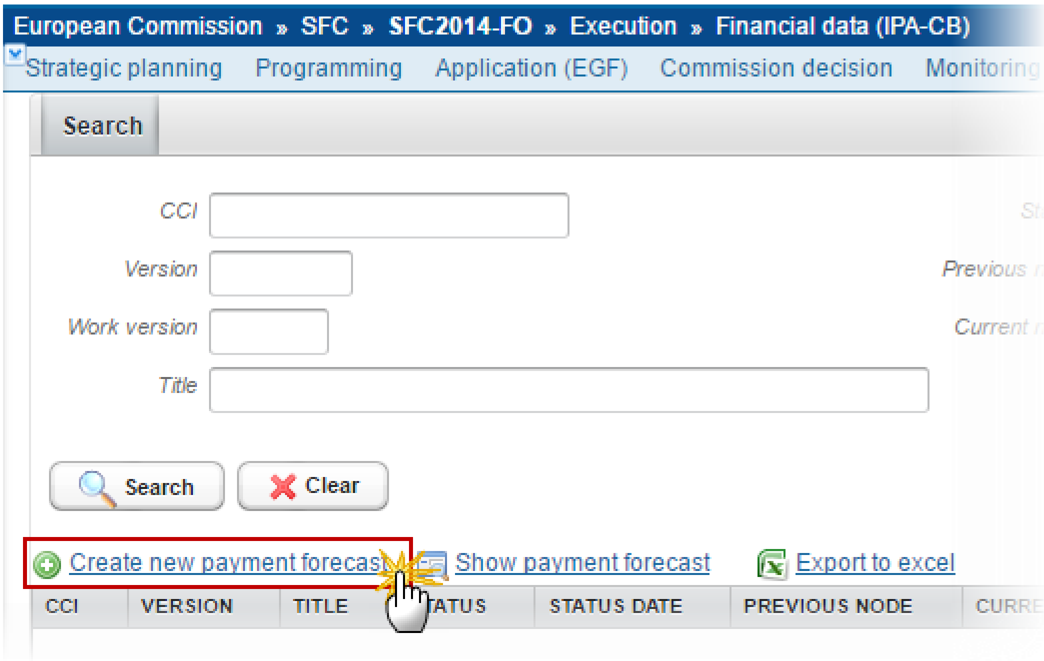
Create the Financial Data (IPA-CB)

REMARK	For IPA-CB, there must be a Programme version **'ADOPTED BY EC'** in order to create a new Financial Data. When editing a version of a Financial Data, its status must be **'OPEN'**, **'READY TO SEND'**, **'SENT'** or **'RETURNED FOR MODIFICATION BY MS'** and currently resides on the user's level. The user has the role MS Managing Authority Send or/and Update OR MS Certifying Authority Send or/and Update.

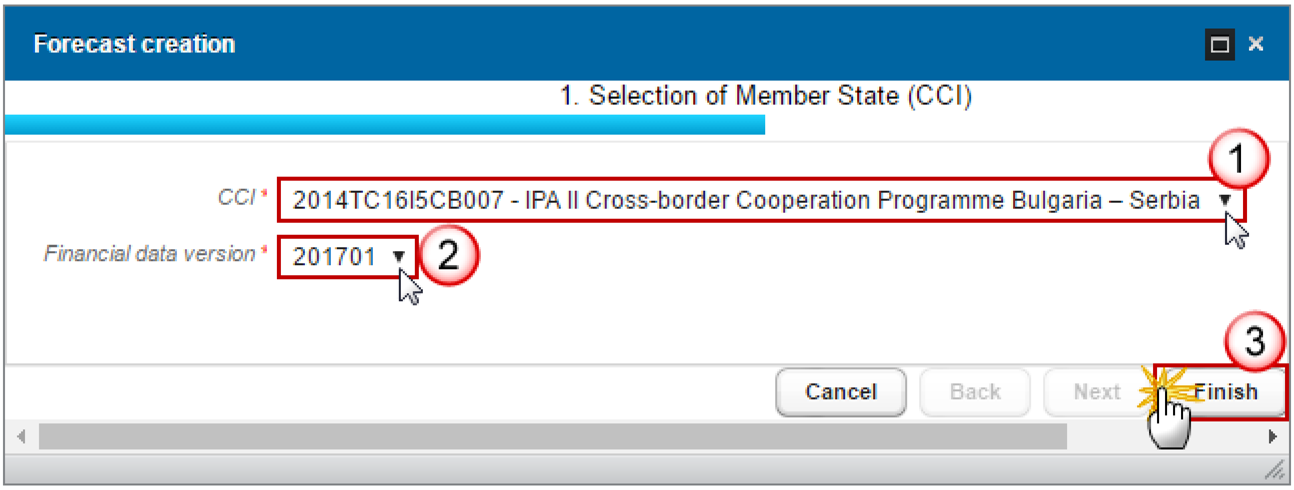
1. To access the **FINANCIAL DATA (IPA-CB)** section first click on the **EXECUTION** link **(1)** in the menu bar and then on the **Financial Data (IPA-CB)** link **(2)**.



2. Click on the Create New Financial Data link to create a new Financial Data.



You are redirected to the Financial Data creation wizard:



3. Enter or select the following information:

(1) Select the CCI code from the drop-down menu.

The CCI list contains all adopted IPA-CB Programmes available in SFC2014 which are managed at the user's Node and which contain the Funds for which the user is registered.

(2) Select the Financial Data version.

REMARK	The version number is a concatenation of the submission year and of the Payment Forecast Submission Code (ex. 201501). The following Submissions and related Version numbers exist: For IPA-CB: YYYY01 to be submitted by **31/01** of YYYY YYYY02 to be submitted by **31/07** of YYYY YYYY03 to be submitted by **31/10** of YYYY

REMARK	The Version list contains all Financial Data versions which do not yet exist for the CCI and which have a due date <= current date + 1 month. This allows creating Financial Data 1 month before their due date. The most recent version is shown first.

(3) Click on the **FINISH** button to continue.

The status of the Financial Data is **OPEN.**

REMARK	Upon creation of the Financial Data the content of the Table of Contents depends on the submission period. For the 31/01 submission it contains **all 3 Tables**. For 31/07 it only contains **Tables 1** and **3**. For 31/10 it only contains **Table 1**, in this case it is not really a Financial Data but a declaration of Financial Progress. When creating the first version of a YYYY02 submission, the system will copy the data from the last available version of the YYYY01 submission of the same year, eventually for IGJ/ETC updated with new records for Tables 1 and 3 coming from a more recently adopted Programme version. In case there was no previous submission version there cannot be any copy and the version should be created entirely based on the last adopted Programme version.

Record/Edit the Financial Data (IPA-CB)

Find all the information to complete each screen of the Financial Data IPA-CB. Below are the links to the main sections:

- General

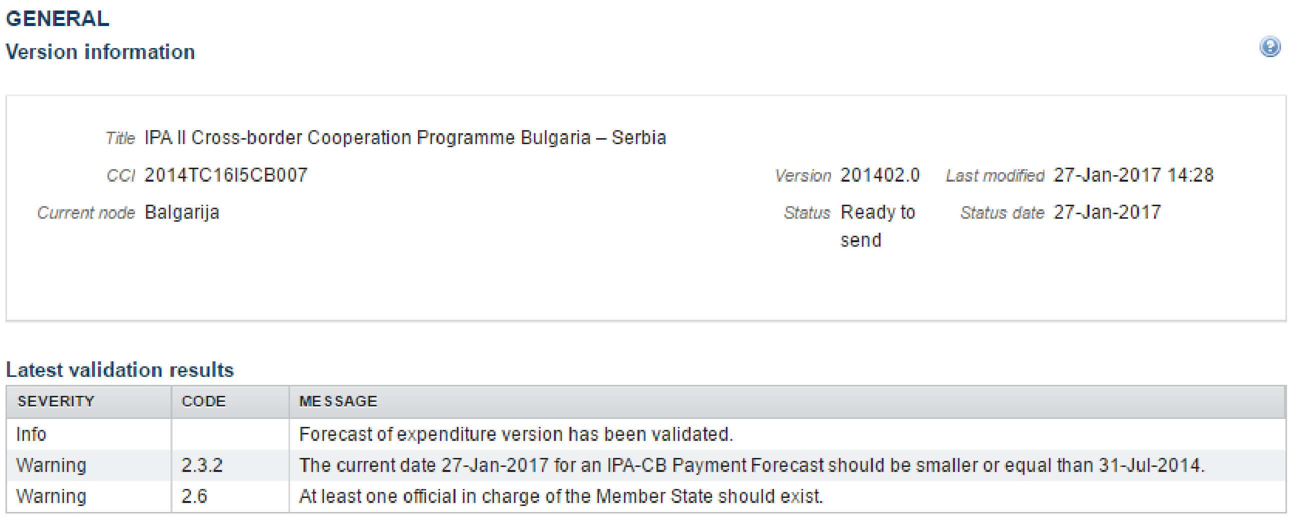
- [Financial Data](#)

General

Version Information

The Version Information contains information on the identification and status of the Financial Data version; the CCI, Title, Type, Version number, Status, etc.

The Version information for the Financial Data cannot be modified once the version has been created.


GENERAL

Version information

Title IPA II Cross-border Cooperation Programme Bulgaria – Serbia

CCI 2014TC16I5CB007 | Version 201402.0 | Last modified 27-Jan-2017 14:28

Current node Balgarija | Status Ready to send | Status date 27-Jan-2017

Latest validation results

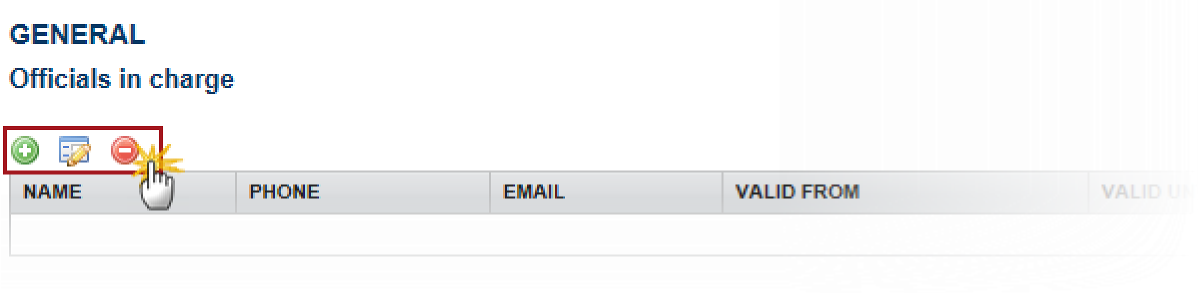
SEVERITY	CODE	MESSAGE
Info		Forecast of expenditure version has been validated.
Warning	2.3.2	The current date 27-Jan-2017 for an IPA-CB Payment Forecast should be smaller or equal than 31-Jul-2014.
Warning	2.6	At least one official in charge of the Member State should exist.

Officials in Charge

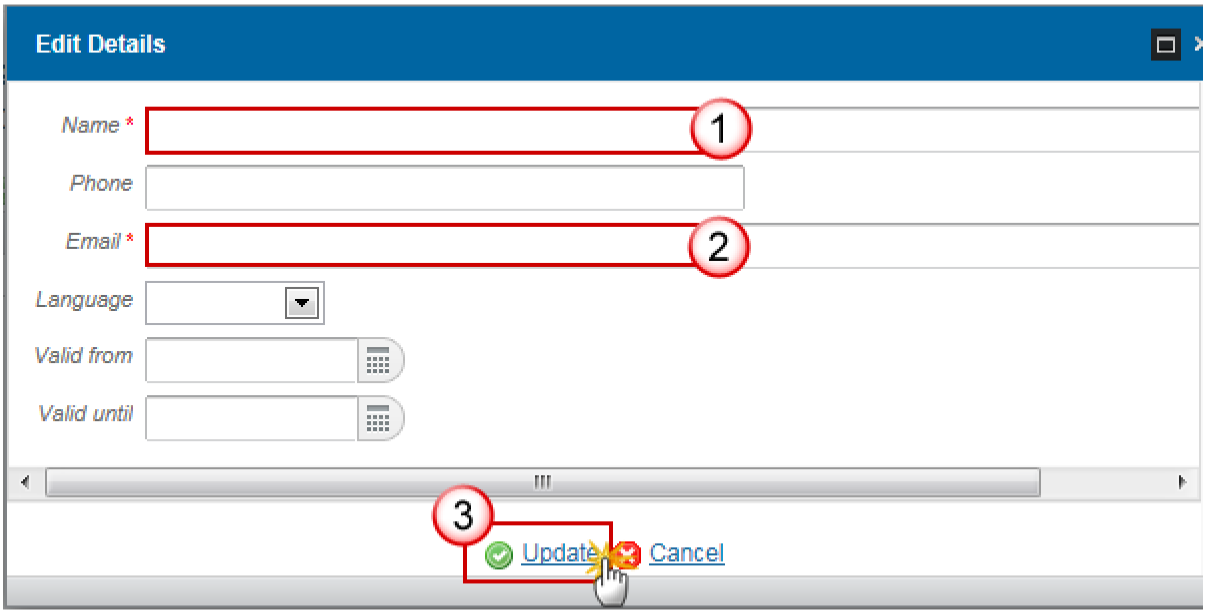
NOTE	Officials in Charge can be updated at any time, independent from the status of the Financial Data.

- Click on the **ADD** button to add a new official in charge.
- Select an official and click in the **EDIT** button to modify the information of this official.
- Select an official and click on the **REMOVE** button to delete the official in charge selected.

1. Click on the **ADD** button to add a new official in charge.



The Edit Details pop-up window appears:



2. Enter the following information:

(1) Enter the *Name*.

(2) Enter the *Email*.

(3) Click on Update to save the information.

NOTE	Commission Officials (email domain "ec.europa.eu") can only be created/updated/deleted by Commission Users.

History

This section shows all the actions that happened in the Financial Data since it was created, for example:

GENERAL

History

STATUS	ACTION	COMMENTS	BY LEVEL	DATE	USER
Sent	Send		Austria	02-Sep-2014 14:54:06	ES Support User
Ready to send	Validate		Austria	02-Sep-2014 14:48:52	AT Austria
Open	Create		Austria	02-Sep-2014 14:46:35	AT Austria

Documents

The documents list shows all documents uploaded against this version of the Financial Data by the Member State and by the Commission.

You can see all your own documents and the sent Commission documents.

The following document types will be foreseen:

Description	Non-Integral	Integral	System	Required
Other Member State Document	X			
Snapshot of data before send		X	X	X
Acknowledgment of Receipt			X	X

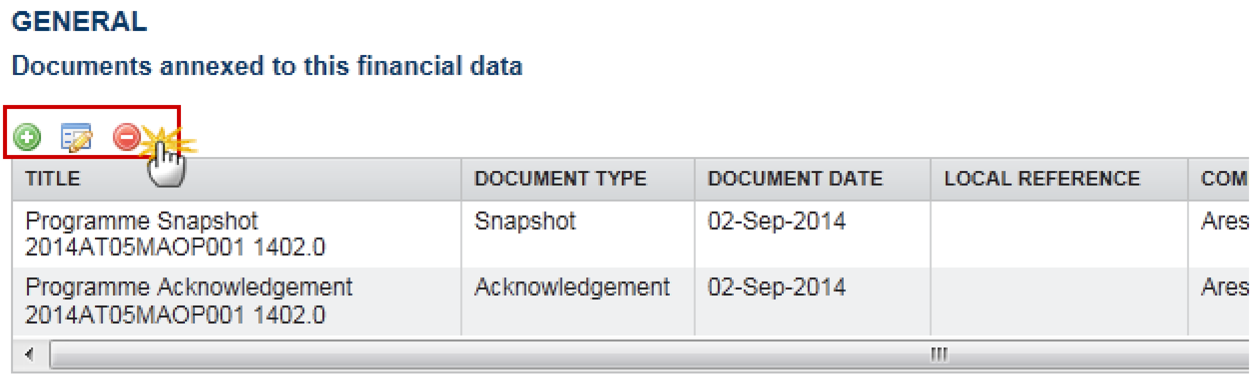
Uploading & Sending Documents

Multiple documents can be uploaded in the Financial Data.

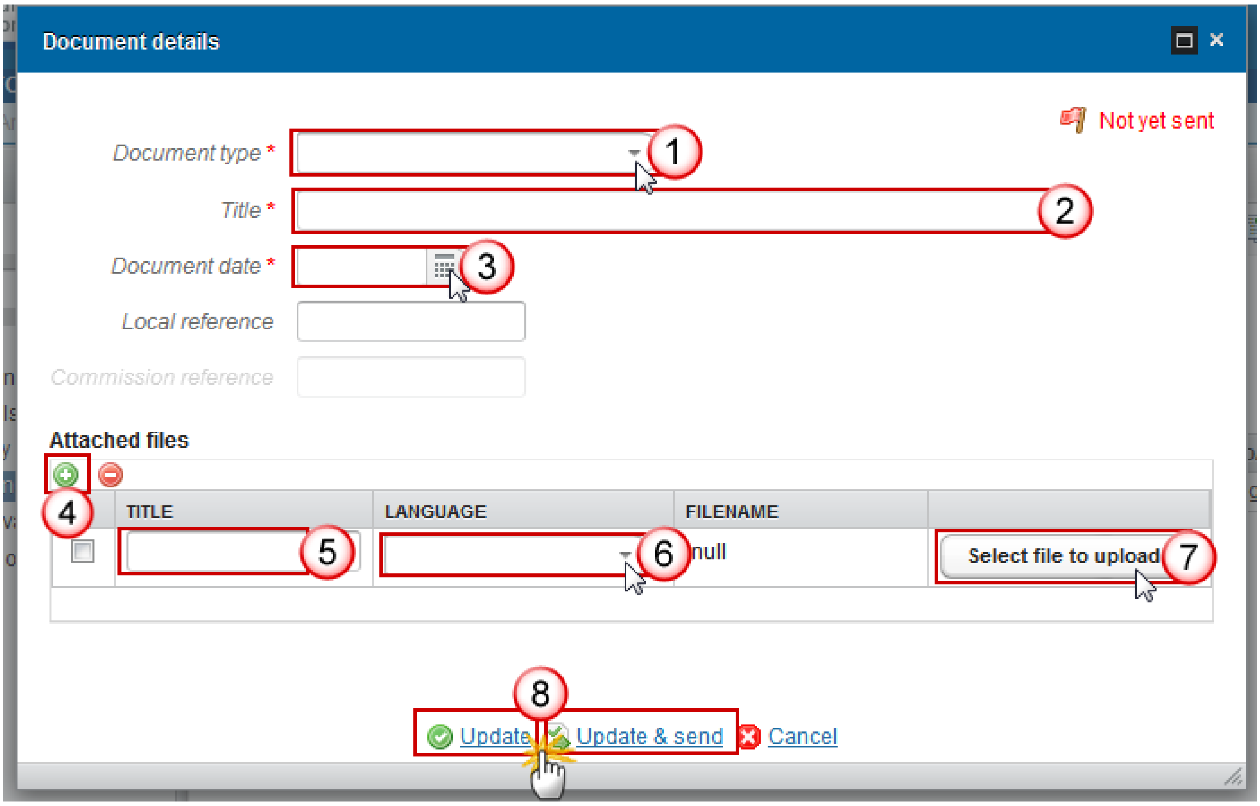
- Clicking on the **ADD** button will open a pop-up window allowing you to add a new document type with attachments.
- Selecting a document row and click in the **EDIT** button will allow you to modify the document information. If a document of type 'Other Member State Document' must be sent, you can select the edit button in order to send the document.

- You can remove unwanted documents which have been not yet sent by selecting the attachment and clicking on the **Remove** button

1. Click on the **Add** button to add a new document.



The document detail pop-up window appears:



2. Enter or select the following information:

(1) Select a *Document Type*

(2) Enter a *title* for your Document

(3) Enter a *Document Date*

(4) Click on the **ADD** button to add a new attachment

- You can add multiple attachments by clicking on the **ADD** button
- You can remove unwanted attachments by selecting the attachment and clicking on the **REMOVE** button

(5) Enter a *Title* for your attachment.

(6) Select the *Language* of the document.

(7) Select the *file* to upload.

(8) Click on Update to save the information or Update & Send to send the document to the Commission.

The pop-up window closes and the documents are uploaded.

REMARK	Commission Registration N° is only enabled for Commission Users, while Local Reference is only enabled for Member State Users.

REMARK

Referential /non- integral Documents (ie. 'Other Member State Document') can be sent at any time independently of the status of the Financial Data.

The 'Other Member State Document' type demands a manual submission (they are NOT sent automatically within the Payment Application). The other document types, integral documents, are automatically sent - together with the encoded data – when the Payment Application is submitted to the EC.

You can find in our Portal the types of documents that can be uploaded and sent by the Member State.

A document is only visible to the Commission when the **SENT DATE** is visible:

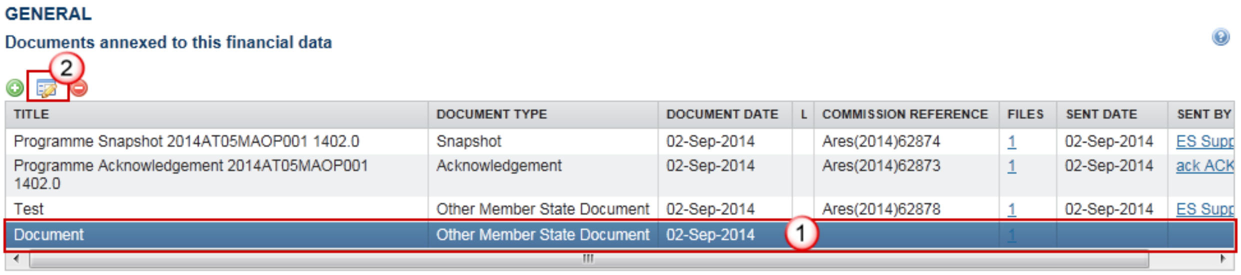
GENERAL

Documents annexed to this financial data

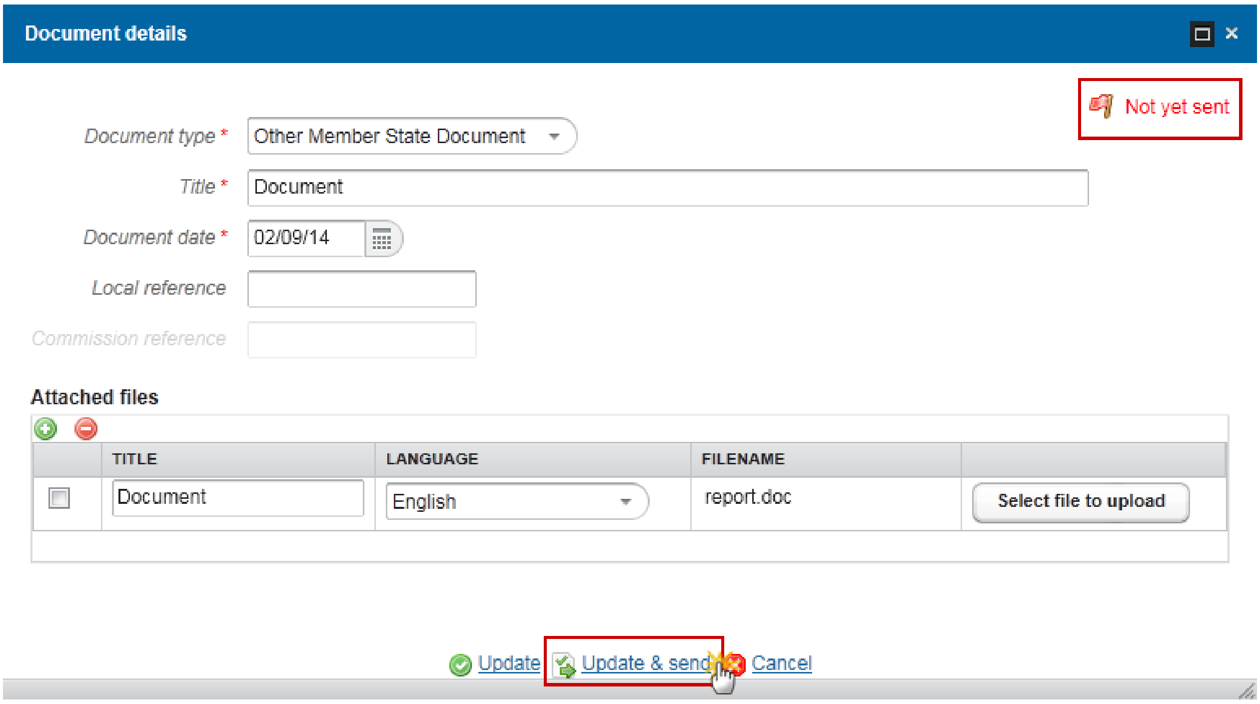
TITLE	DOCUMENT TYPE	DOCUMENT DATE	L	COMMISSION REFERENCE	FILES	SENT DATE	SENT BY
Programme Snapshot 2014AT05MAOP001 1402.0	Snapshot	02-Sep-2014		Ares(2014)62874	1	02-Sep-2014	ES Supp
Programme Acknowledgement 2014AT05MAOP001 1402.0	Acknowledgement	02-Sep-2014		Ares(2014)62873	1	02-Sep-2014	ack ACK
Test	Other Member State Document	02-Sep-2014			1	02-Sep-2014	ES Supp

Sending an unsent non-integral document

1. Once the document and attachment(s) have been uploaded select the document row in the list **(1)** and click on the **EDIT** button **(2)**:



2. Click on Update & Send to send the document to the Commission.

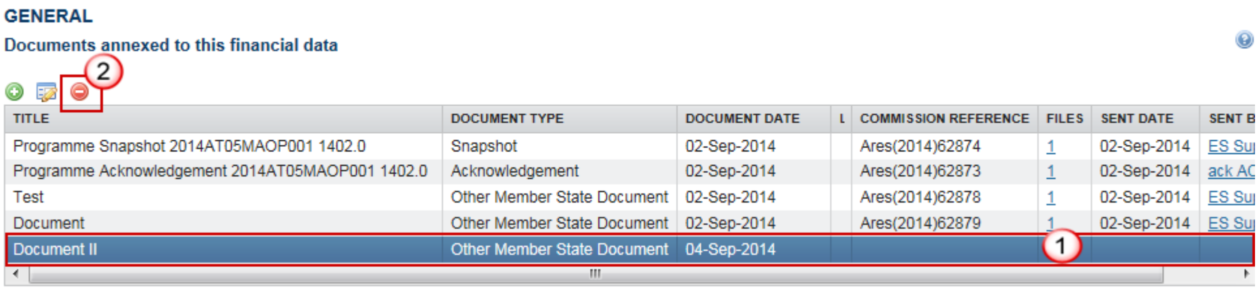


NOTE	The Update & Send button will only be shown for documents which are non-integral and after at least one attachment was added. If more than one file are uploaded from the same document table, when clicking the Update & Send link, will send all the files and not only the one(s) for which the check-box has been ticked.

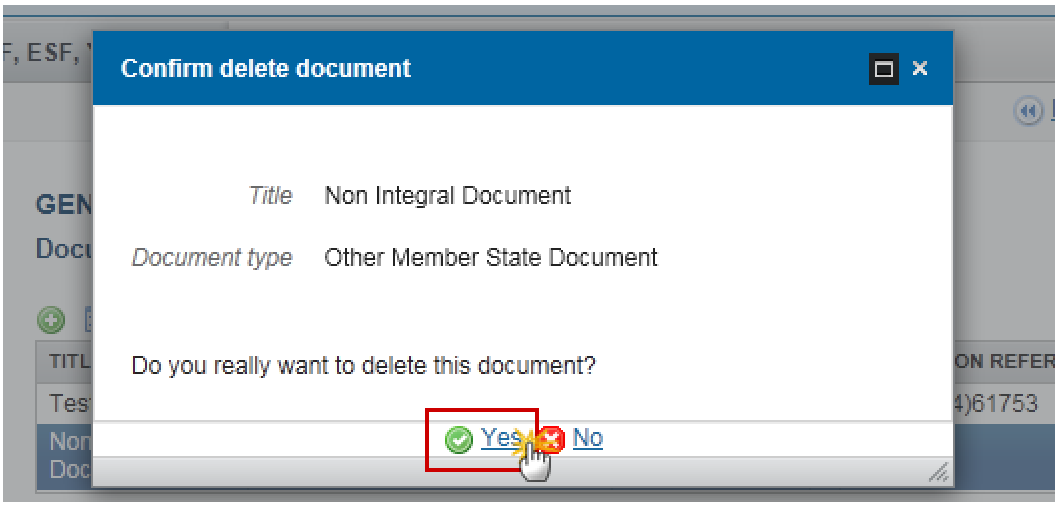
Deletion of an unsent document

REMARK	Only documents that have not yet been sent to the Commission can be deleted.

1. Select a row **(1)** of a previously uploaded document and click on the **REMOVE** button **(2)** to delete the document and associated attachments.



A confirmation window appears:

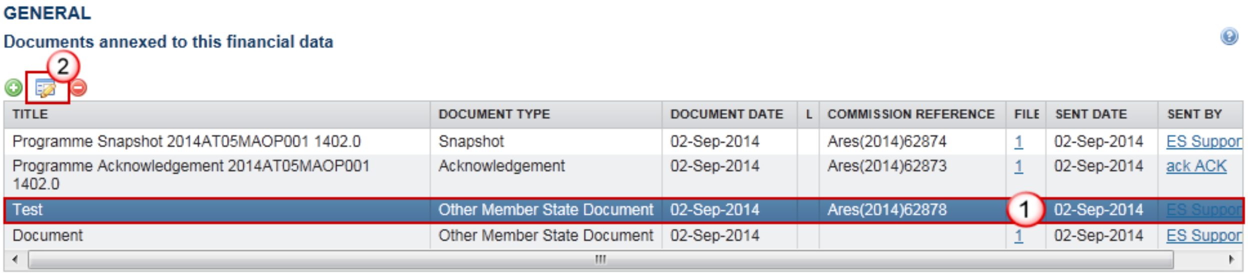


2. Click on Yes to confirm deletion. Click on No to return to the Financial Data documents.

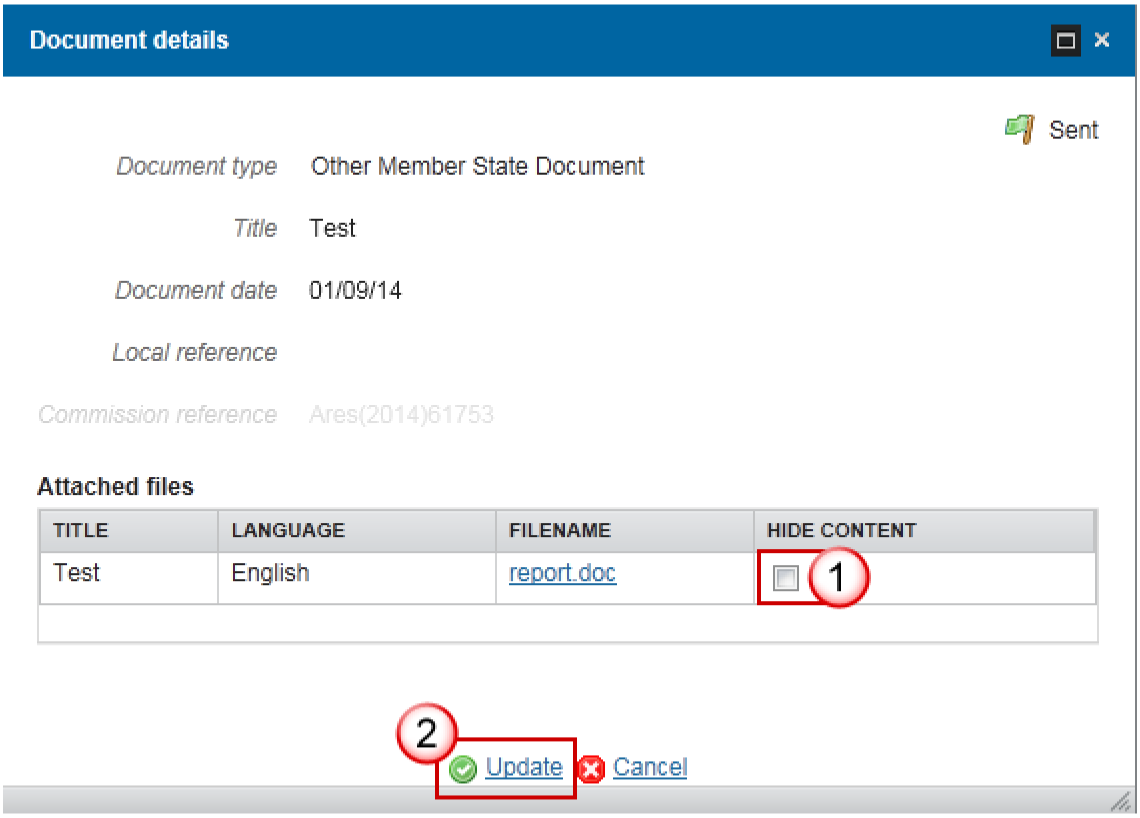
Hiding a sent document

NOTE	Sent Documents can never be deleted, but the sender can decide to hide the content for the receivers in case of an erroneous and/or accidental send.

1. Select a row **(1)** of a previously sent document and click on the **EDIT** button **(2)** to hide the document and associated attachments.

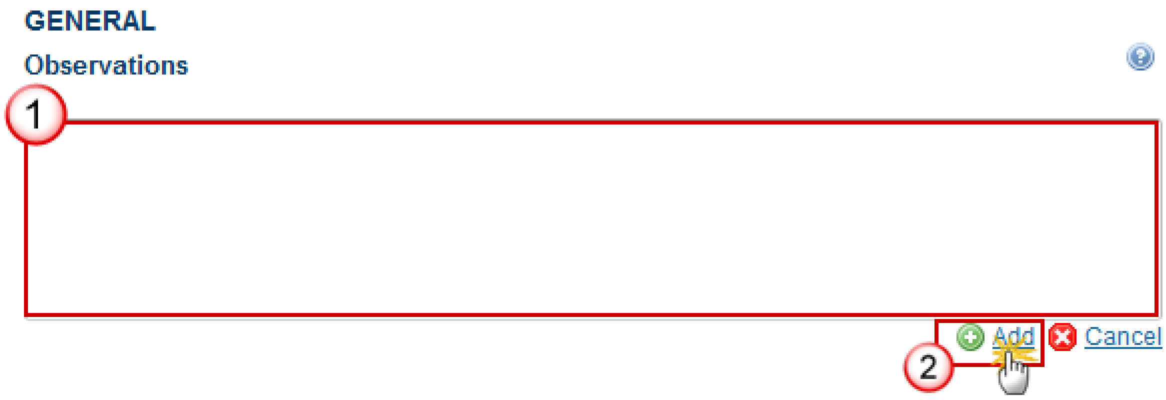


2. Select the **HIDE CONTENT** **(1)** option and click on Update **(2)** to hide the Financial Data document.



Observations

This section is to provide any relevant information to the Financial Data IPA-CB, it is like a chat between the Member State and the Commission.



(1) Enter an observation.

All users who have Read permission on the Financial Data will be able to read all Observations in the conversation.

All users who have Read permission and Send permission on the Financial Data will be able to send an Observation and participate in the conversation.

(2) Click on **Add** to save the information.

All Observations are kept against the specific version of the Financial Data.

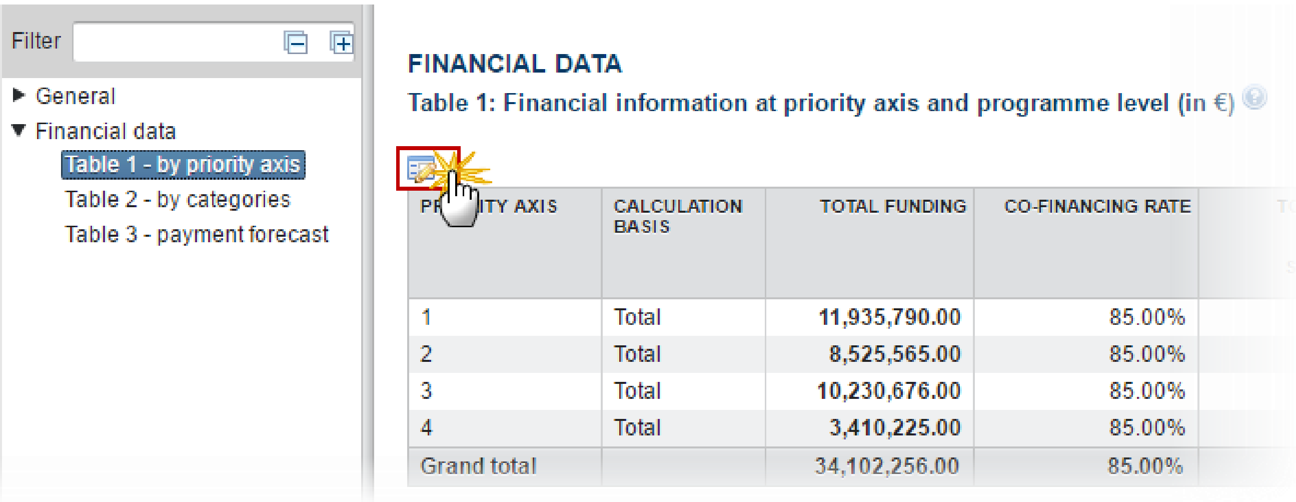
Financial Data

REMARK	The Tables of Content depends for the Financial Data on the submission period. For the 31/01 submission it contains all 3 Tables, for 31/07 it only contains Tables 1 and 3 and for 31/10 it only contains Table 1. When creating the first version of a YYYY02 submission, the system will copy the data from the last available version of the YYYY01 submission of the same year, eventually for IGJ/ETC updated with new records for Tables 1 and 3 coming from a more recently adopted Programme version. In case there was no previous submission version there cannot be any copy and the version should be created entirely based on the last adopted Programme version.

Table 1 – By Priority Axis

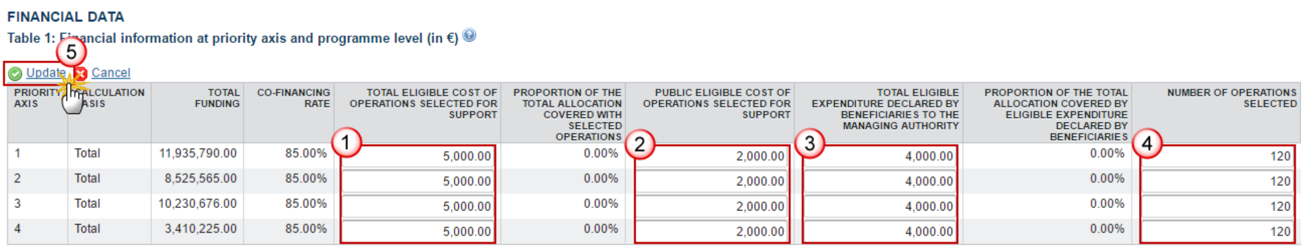
Note	The records are automatically foreseen, based on T16 (IPA-CB) of the last adopted Programme version. For IPA-CB there will not be a Category of Region column.

1. Clicking on the **Edit** button  will enable the entry of the editable values for Table 1.



PRIORITY AXIS	CALCULATION BASIS	TOTAL FUNDING	CO-FINANCING RATE
1	Total	11,935,790.00	85.00%
2	Total	8,525,565.00	85.00%
3	Total	10,230,676.00	85.00%
4	Total	3,410,225.00	85.00%
Grand total		34,102,256.00	85.00%

The Financial Data screen becomes editable:



PRIORITY AXIS	CALCULATION BASIS	TOTAL FUNDING	CO-FINANCING RATE	TOTAL ELIGIBLE COST OF OPERATIONS SELECTED FOR SUPPORT	PROPORTION OF THE TOTAL ALLOCATION COVERED WITH SELECTED OPERATIONS	PUBLIC ELIGIBLE COST OF OPERATIONS SELECTED FOR SUPPORT	TOTAL ELIGIBLE EXPENDITURE DECLARED BY BENEFICIARIES TO THE MANAGING AUTHORITY	PROPORTION OF THE TOTAL ALLOCATION COVERED BY ELIGIBLE EXPENDITURE DECLARED BY BENEFICIARIES	NUMBER OF OPERATIONS SELECTED
1	Total	11,935,790.00	85.00%	5,000.00	0.00%	2,000.00	4,000.00	0.00%	120
2	Total	8,525,565.00	85.00%	5,000.00	0.00%	2,000.00	4,000.00	0.00%	120
3	Total	10,230,676.00	85.00%	5,000.00	0.00%	2,000.00	4,000.00	0.00%	120
4	Total	3,410,225.00	85.00%	5,000.00	0.00%	2,000.00	4,000.00	0.00%	120

2. Enter the following information:

(1) Enter the values for the *Total eligible cost of operations selected*.

(2) Enter the values for the *Public eligible cost of operations selected*.

(3) Enter the values for the *Total eligible expenditure declared by beneficiaries to the Managing Authority*.

(4) Enter the *Number of Operations selected*.

(5) Click on Update to save the information.

Table 2 – By categories

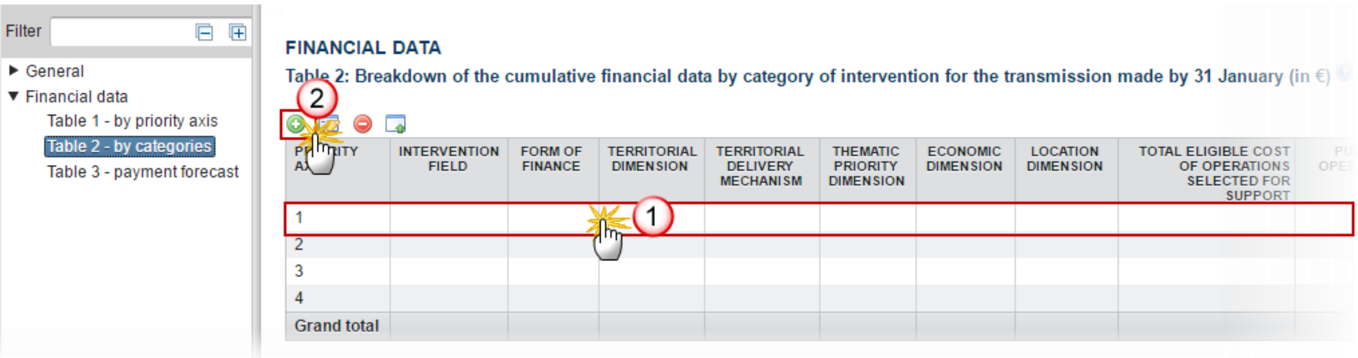
NOTE	The records are automatically foreseen, based on T16 (IPA-CB) of the last adopted Programme version. For IPA-CB there will not be a Category of Region column. For IPA-CB Programmes, instead of the Thematic Objective list, a Thematic Priority list will be shown, containing only the Thematic Priorities defined against the Priority Axis in the Programme.

There are 2 options to add the Categorisation records:

- via the **ADD** button
- via the **IMPORT** button

Adding records manually via the Add Button

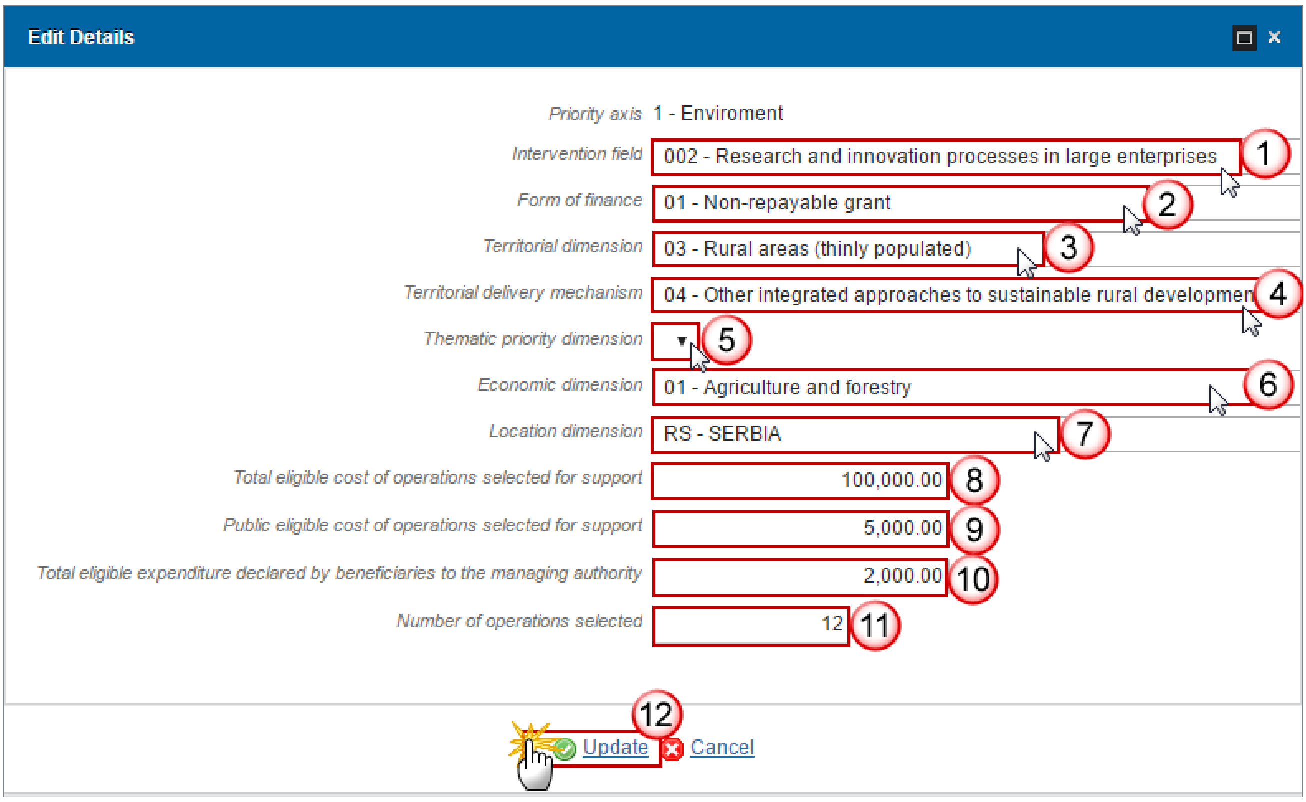
1. Click on the **ADD** button to manually add an additional **'CATEGORISATION COMBINATION'** row for a specific **'PRIORITY AXIS'**:



(1) Select a row where you want to add the information

(2) Click on the **ADD** button

The Edit Details window appears:



2. Enter the information:

(1) *Intervention field*

(2) *Form of finance*

(3) *Territorial dimension*

(4) *Territorial delivery mechanism*

(5) *Thematic priority dimension*

The Thematic Priority list will only contain the Thematic Priorities defined against the Priority Axis in the Programme.

(6) *Economic dimension*

(7) *Location dimension*

(8) *Total eligible cost of operations selected for support*

(9) *Public eligible cost of the operations selected for support*

(10) *Total eligible expenditure declared by beneficiaries to the managing authority*

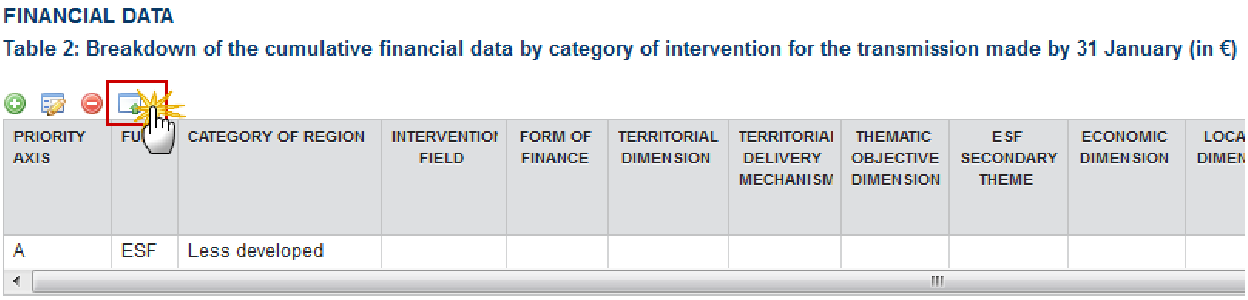
(11) *Number of operations selected*

(12) Click on Update to save the information

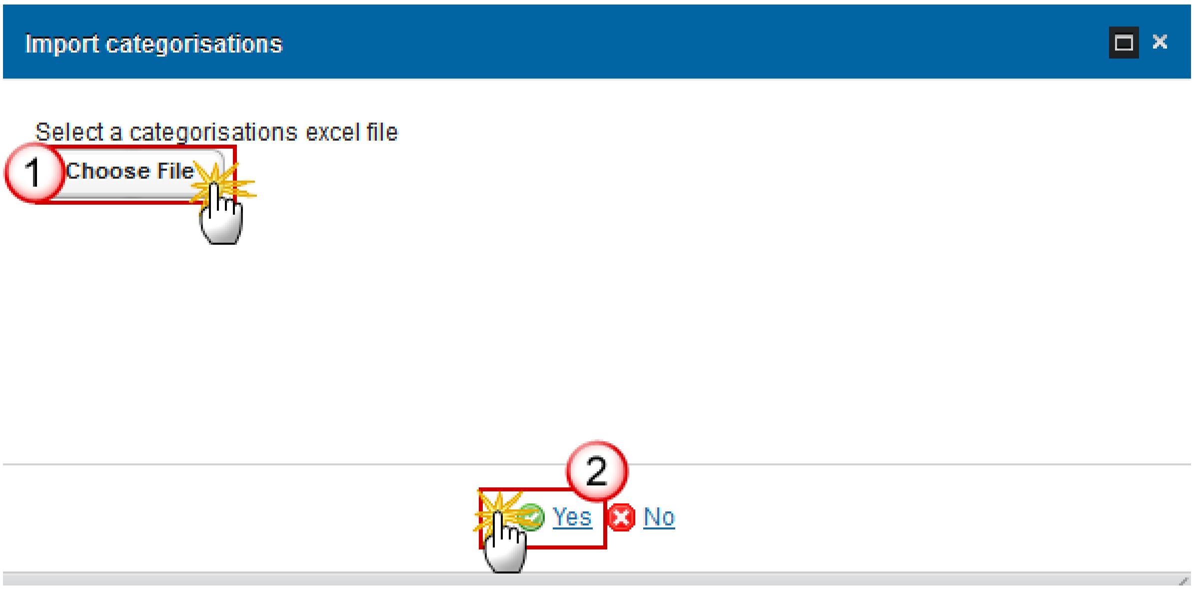
Adding Records via the Import Button

REMARK	- The Import button allows importing data from a **correctly formatted Excel file** available on the SFC portal. - The formatting of this document **should not be changed**. Refer to the chapter in this guide for information on [Frequent Categorisation Sheet Errors] - The import will delete all existing records and add all records from the Excel, so that an Import from Excel replaces what is in the database with what it is in the Excel. - When not all records from the Excel file could be imported successfully, an alert will be displayed at the end of the import saying **"Not all records from the Excel file were imported because the format was not correct or because the codes do not exist"**.

1. Click on the **IMPORT** button :



The Import categorisations window appears:



2. Choose an excel file **(1)** and click on Yes **(2)** to import the file.

Frequent Categorisation Sheet Errors

If there are errors in the formatting or codes this can produce problems in the correct importing of the data from the Excel file to the Table 2. To ensure the information is correctly transferred please keep the following in mind:

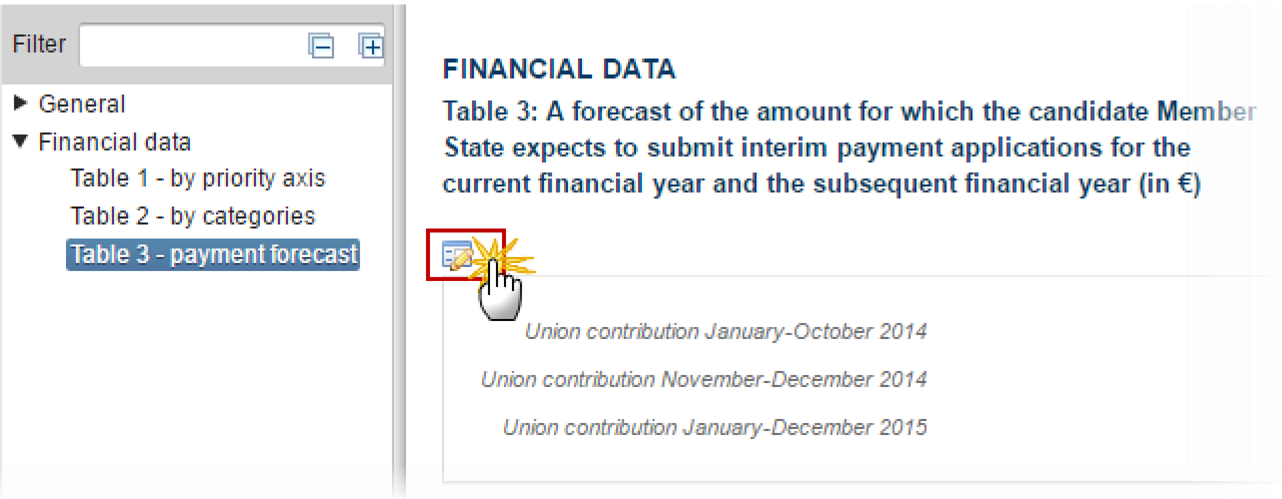
- The import is very sensitive to formatting changes:
    - Check there is no space after the text or digits entered. You should remove the space (in each cell) and upload the sheet again.
    - If you are copying/pasting the information into the Categorisation Sheet please only enter **values/data** into the cells you require to be edited: do not change the headings or the font or size of the text and only use the copy and **'paste special'** function and **paste only as values**.
- The codes should be entered into the categorisation sheet as a 2-digit sequence - so "01" instead of "1" (this is also the same for code "0", which should be entered as "00").
- The Excel file needs to be closed before importing

Table 3 – Payment Forecast

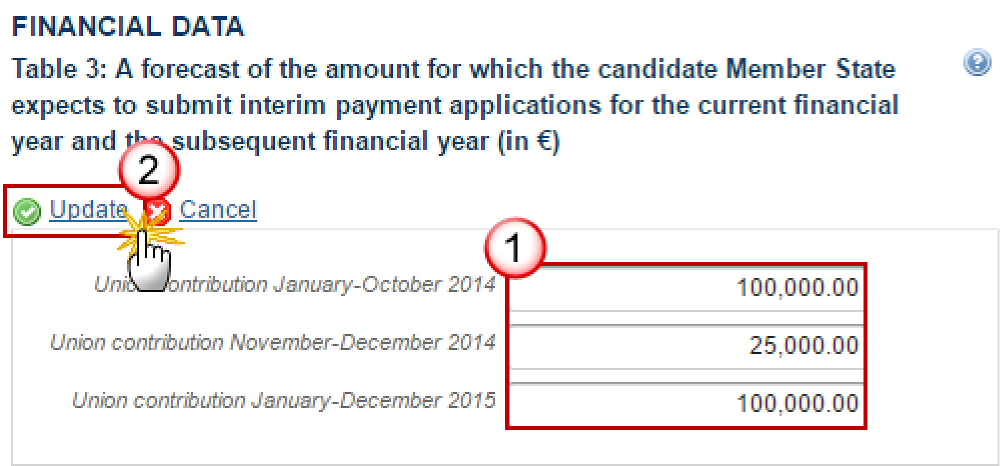
Payment forecast for the current and subsequent financial year.

NOTE	The records are automatically foreseen, based on T16 (IPA-CB) of the last adopted Programme version. For IPA-CB there will not be a Category of Region column.

1. Clicking on the **EDIT** button  will enable the entry of the values for the available Union Contribution.



The Table 3 becomes editable:



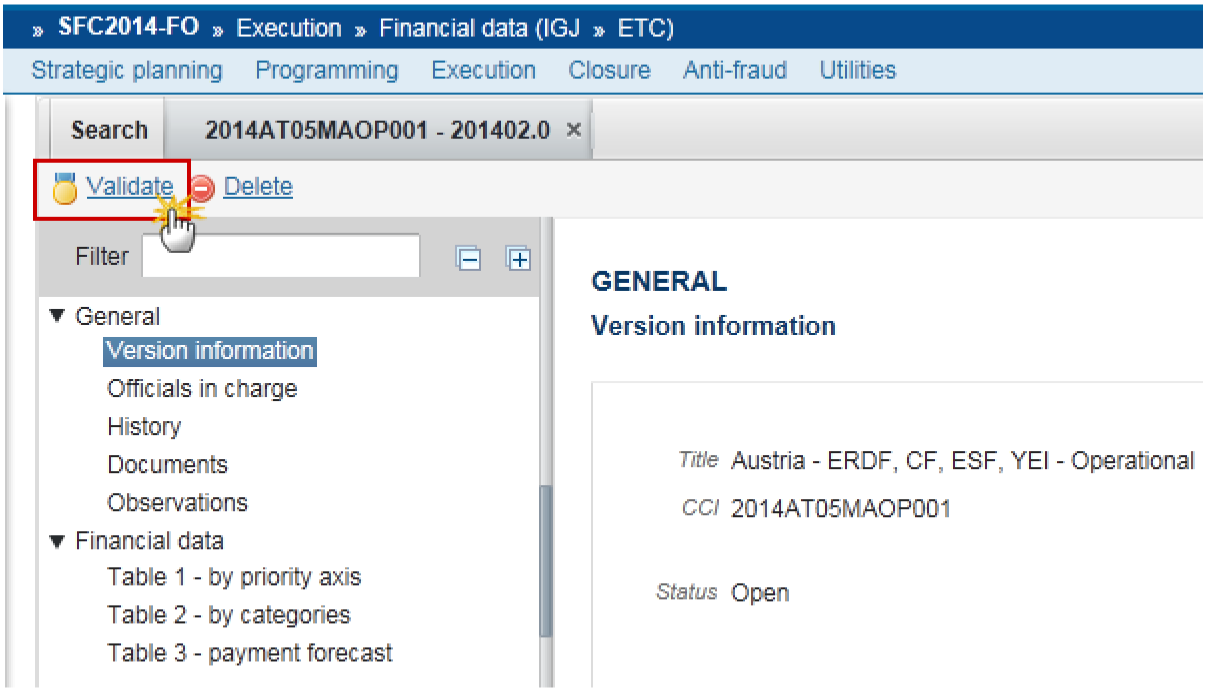
(1) Enter the values for the available periods.

(2) Click on Update to save the information.

Validate the Financial Data (IPA-CB)

REMARK	The Financial Data can be validated when the current version is in status **'OPEN'**. It is a must to have the role of MS Managing Authority Update.

1. Click on the Validate link to validate the Financial Data.



REMARK	An **ERROR** will block you from sending the Financial Data. The error(s) should be resolved and the Financial Data must be revalidated. **NOTE** that a **WARNING** does not block you from sending the Financial Data.

The system validates the following information:

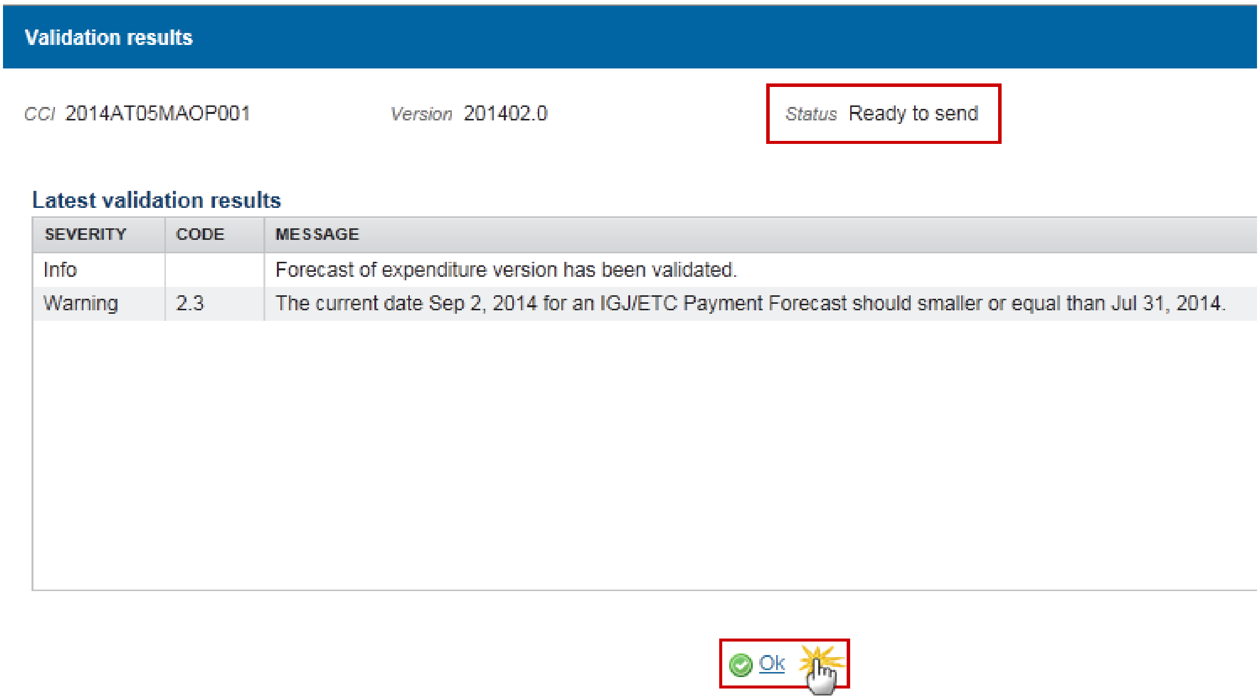
Code	Validation Rule	Severity
2	The system validates the integrity of the input fields	

2.3	Validate that the current date for an IGJ/ETC and IPA-CB Financial Data: • for YYYY01 is smaller or equal than 31/01/YYYY (warning) • for YYYY02 is smaller or equal than 31/07/YYYY (warning) • for YYYY03 is smaller or equal than 31/10/YYYY (warning)	WARNING
2.4	Validate that validate that the IGJ/ETC & IPA-CB Financial Data for 31/07/YYYY doesn't contain Table 2	ERROR
2.5	Validate that the IGJ/ETC & IPA-CB Financial Data for 31/10/YYYY doesn't contain Tables 2 and 3	ERROR
2.6	Validate that at least one official in charge of the Member State exists	WARNING
2.7	Validate that the CCI code matches the following regular expression: • for IGJ/ETC/IPA-CB (……16..OP…|……05(?!FM|FS)..OP…|……05..TA…| ……16..TA…| ……16..SM…|….TC16RF…..|….TC16M4…..| ….TC16M5…..| ….TC16M6…..| ….TC16I5CB…)	ERROR
2.8	Validate that the IGJ/ETC & IPA-CB Financial Data is linked to a Programme which has an adopted version	ERROR
2.9	Validate that the IGJ/ETC & IPA-CB Financial Data in Tables 1, 2 and 3 only contain all Priority Axis/Fund/Category of Region combinations available in the last adopted Programme Version. For Table 1 and 2 compare against T18a of OPIGJ or T16 of ETC or T16 of IPA-CB. For Table 3 compare against T18a and T18b of OPIGJ or T16 of ETC or T16 of IPA-CB. (implicit in Web)	ERROR
2.12	Validate in the IPA-CB Payment Forecast for YYYY01, per Priority Axis/ (Fund/Category of Region), the Financial Data for Table 2 should be equal to the Financial Data for Table 1 (excluding the number of operations). 2.12.3 The Number of Operations Selected per Priority Axis/Fund/[Category of Region] in Table 2 must be >= the Number of Operations Selected per Priority Axis/Fund/[Category of Region] in Table 1	ERROR
2.14	validate that all integral documents have at least one attachment with a length > 0	ERROR
2.16	validate that in Table 2 for IPA-CB only Thematic Priorities are used which have been defined on the Priority Axis in the Programme	ERROR
2.20	Validate in Table 1 for IPA-CB when “Number of operations selected” is > 0 that “Total eligible costs of operations selected for support” is > 0.	ERROR

	- for IPA-CB =>"In Table 1 when number of operations is > 0 then total eligible costs of operations selected for support needs to be > 0 for priority axis: {0}	
2.21	Validate in Table 1 for IPA-CB when “Total eligible costs of operations selected for support” is > 0 that “Number of operations selected” is > 0. - for IPA-CB => "In Table 1 when total eligible costs of operations selected for support is > 0 then number of operations must be > 0 for priority axis: {0}	WARNING
2.22	Validate in Table 2 for IPA-CB when “Number of operations selected” is > 0 that “Total eligible costs of operations selected for support” is > 0. - for IPA-CB => "In table 2 when number of operations is > 0 then total eligible costs of operations selected for support needs to be > 0 for priority axis: {0}, intervention field: {1}, form of finance: {2}, territorial type: {3}, territorial delivery mechanism: {4}, thematic priority: {5}, economic dimension: {6}, location: {7}	ERROR
2.23	Validate in Table 2 for IPA-CB when “Total eligible costs of operations selected for support” is > 0 that “Number of operations selected” is > 0. - for IPA-CB => "In Table 2 when total eligible costs of operations selected for support is > 0 then number of operations needs to be > 0 for priority axis: {0}, intervention field: {1}, form of finance: {2}, territorial type: {3}, territorial delivery mechanism: {4}, thematic priority: {5}, economic dimension: {6}, location: {7}	WARNING
2.24	Validate in Table 1 for IPA-CB when “eligible expenditure declared by beneficiaries” is > 0 that “Total eligible costs of operations selected for support” is >= “eligible expenditure declared by beneficiaries” - for IPA-CB=> "In Table 1 when eligible expenditure declared by beneficiaries is > 0 then total eligible costs of operations selected for support needs to be >= eligible expenditure declared by beneficiaries for priority axis: {0}	WARNING
2.25	Validate in Table 2 for IPA-CB when “Total eligible expenditure declared by beneficiaries” is > 0 that “Total eligible costs of operations selected for support” is >= “Total eligible expenditure declared by beneficiaries” - for IPA-CB => "In table 2 when Total eligible expenditure declared by beneficiaries is > 0 then total eligible costs of operations selected for support needs to be >= Total eligible expenditure declared by beneficiaries for priority axis: {0}, intervention field: {1}, form of finance: {2}, territorial type: {3}, territorial delivery mechanism: {4}, thematic priority: {5}, economic dimension: {6}, location: {7}	WARNING

After all errors have been resolved the status of the Financial Data becomes **'READY TO SEND'**.

An example of a validation window:

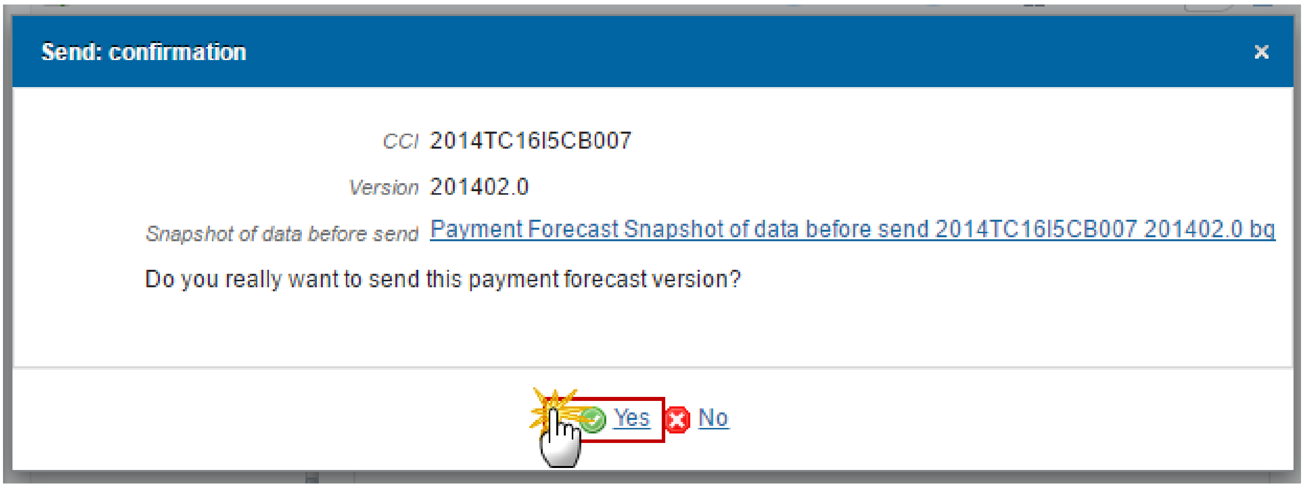


Send the Financial Data (IPA-CB)

REMARK	The Financial Data can only be sent once the **Validation Errors** have been removed and the status is **'READY TO SEND' OR 'SENT'**. It is a must to have the privilege to send the Financial Data, the user has the role MS Managing Authority Send or/and Update OR MS Certifying Authority Send or/and Update. The **"4 eye principle"** must be respected. Therefore, the user sending must be different from the user who last validated. The **Sending** of information by a Member State to the Commission should be **electronically signed in accordance with Directive 1999/93/EC**. Sending of the different objects is generating a snapshot document and after the sending an acknowledge document is generated by the European Commission.

1. Click on the Send link to send the Financial Data to the Commission or to an upper Node.

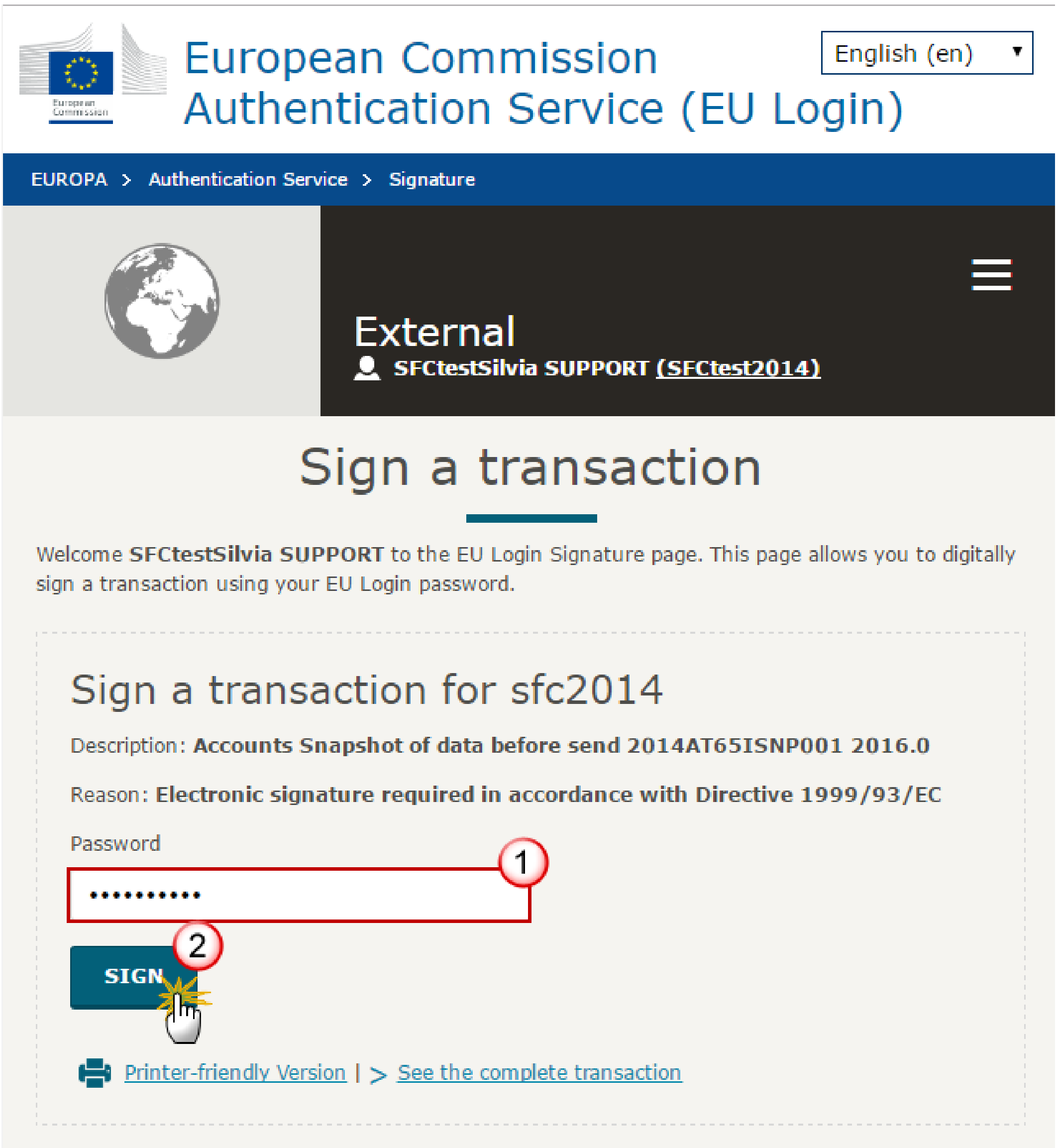
The system will ask you to confirm the send action:



2. Click on Yes to confirm.
3. The Sending of information by a Member State to the Commission should be electronically signed in accordance with **Directive 1999/93/EC.**

Sending of the different objects is generating a snapshot document and after the sending an acknowledge document is generated by the European Commission.

This acknowledge document is signed but the Member State was not signing the snapshot document. The EU Login now provides a functionality of signing without forcing the user to have a certificate. The action to sign will only be triggered when sending to the European Commission:



(1) Enter your SFC2014 *Password*

(2) Click on the '**SIGN**' button

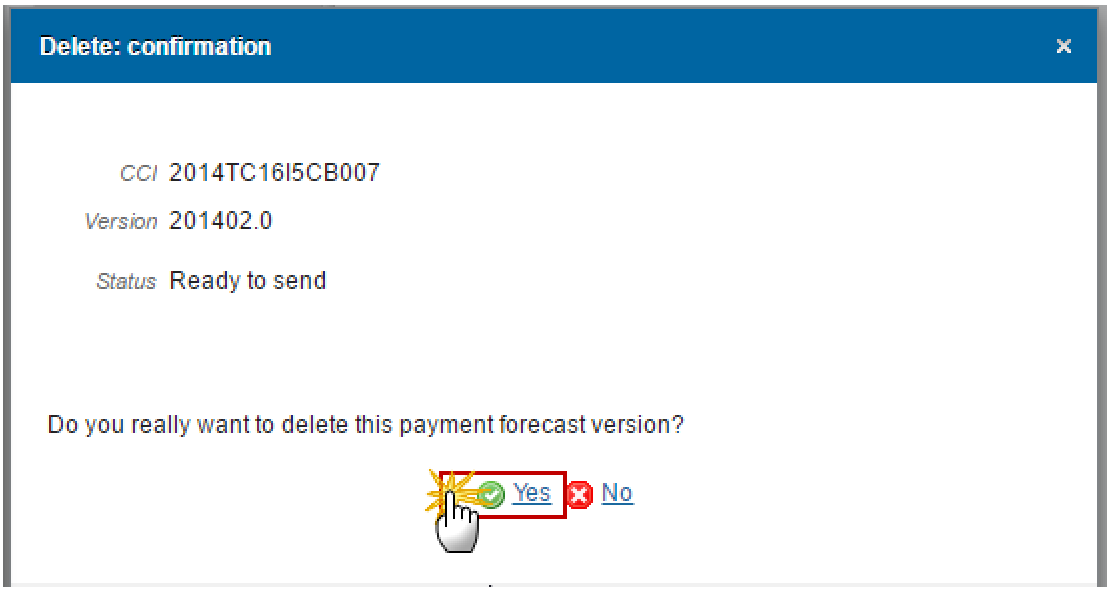
On success, the Financial Data version has been sent to the Commission. The status of the Financial Data is set to '**SENT**'.

Delete the Financial Data (IPA-CB)

REMARK	**A Financial Data can be deleted** when the status is **'OPEN'**, **'READY TO SEND'** or **'RETURNED FOR MODIFICATION BY MS'**, and has never been sent to the Commission before and has no sent documents attached. The Financial Data currently resides on your Node. It is a must to have the role of MS Managing Authority Update OR MS Certifying Authority Update.

1. Click on the Delete link to remove the Financial Data from the system.

The system will ask you to confirm the delete action:



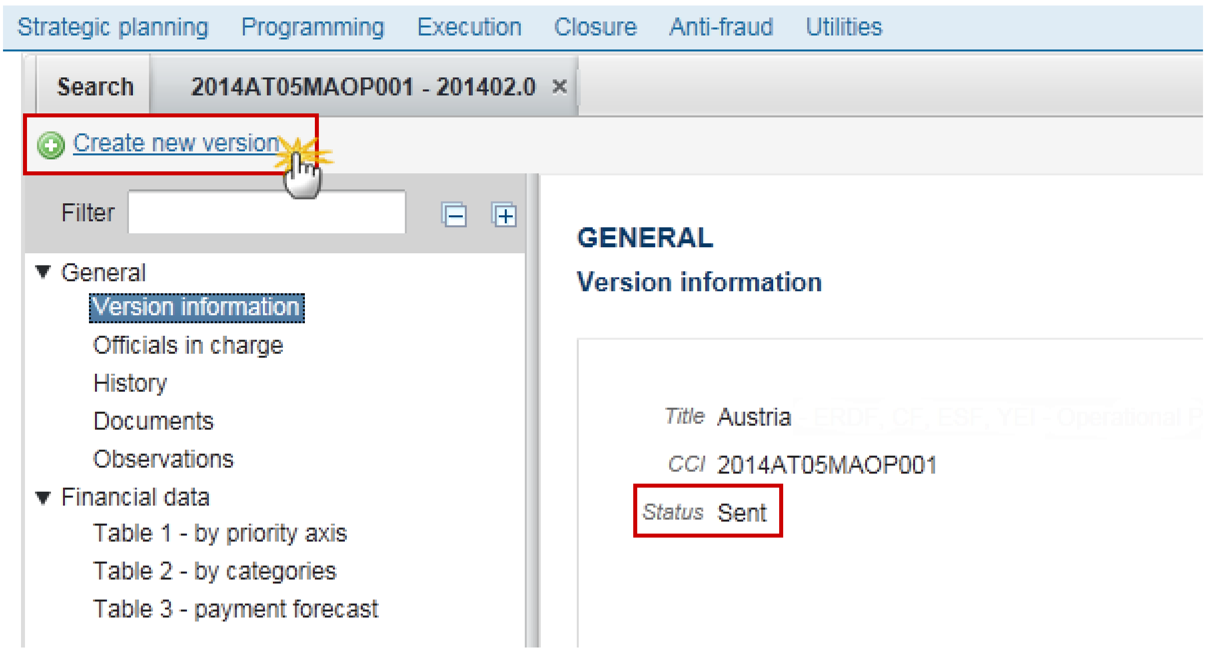
2. Click on Yes to confirm or click on No to return to the Financial Data.

On success, the Financial Data has been physically deleted from the system.

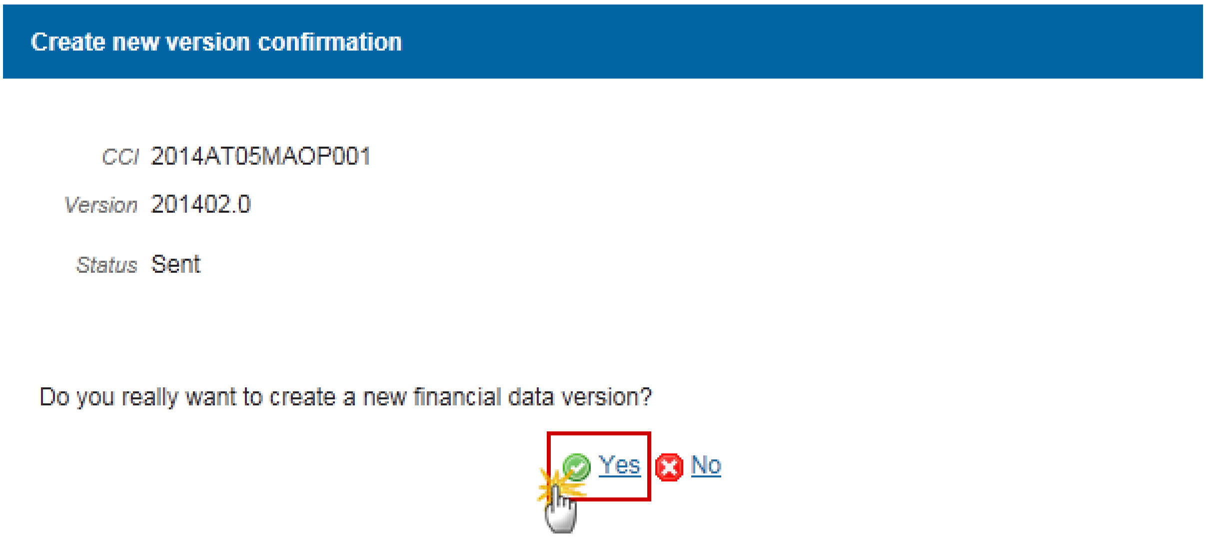
Create a New Version of the Financial Data (IPA-CB)

REMARK	A new version of the Financial Data can be created when the last version was '**SENT**' to the Commission. It is a must to have the role of **MS Managing Authority Update** OR **MS Certifying Authority Update.** When a more recent adopted Programme version exists with new Priority Axes, these are added to Table 1 and Table 2.

1. Click on the Create New Version link to create a new version of the Financial Data.



The system will ask you to confirm the creation of a new version:



1. Click on **Yes** to confirm. Click on **No** to return to the Financial Data.

On success, a new version of the Financial Data has been created as a copy of the last version. Its status is set to **'OPEN'** and the working version was incremented by one (ex. 201401.0 → 201401.1).

When a more recent adopted Programme version exists with new Priority Axes, these are added to Table 1 and Table 2.