Follow up on annex III of the FIR (IGJ, ETC, IPACB), last AIR (EMFF) 1
Workflow 2
Create the Annex III
Record/Edit the Annex III
General 6
Version Information
Officials in Charge
History
Documents
Uploading & Sending documents9
Sending an unsent non-integral document11
Deletion of an unsent document13
Hiding a sent document
Observations
Annex III
Validate the Annex III
Send the Annex III
Delete the Annex III
Return Annex III for modification by the MS

# Follow up on annex III of the FIR (IGJ, ETC, IPACB), last AIR (EMFF)

#### PURPOSE

This document describes the specifications of the use-cases related to the "Annex III - Reporting on operations affected by ongoing national investigations / suspended by a legal proceeding or by an administrative appeal having suspensory effect" to be submitted after the submission of the Final Implementation Report for IGJ, ETC, IPA-CB and of the 2023 Annual Implementation Report for EMFF.

#### REGULATIONS

More detail regarding the regulation of the Follow up on annex III of the FIR (IGJ, ETC, IPACB), last AIR (EMFF) can be found in the '<u>About SFC2014</u>' section of this portal.

#### ROLES

Roles involved in the Annex III are:

MS Managing Authority	Create the Annex III
	Record the Annex III
	Upload the Annex III
	Consult the Annex III
	Delete the Annex III
	Validate the Annex III
	Send the Annex III
	Return the Annex III
MS Audit Authority	Consult the Annex III

#### FUNDS

IGJ ETC	IPA-CB	EMFF
---------	--------	------

#### **PRE-CONDITIONS**

When creating, the Annex III version, it doesn't yet exist, and all previous versions are sent to the Commission.

For IGJ, ETC and IPA-CB, the Final Implementation Report for the Programme is already submitted to the Commission.

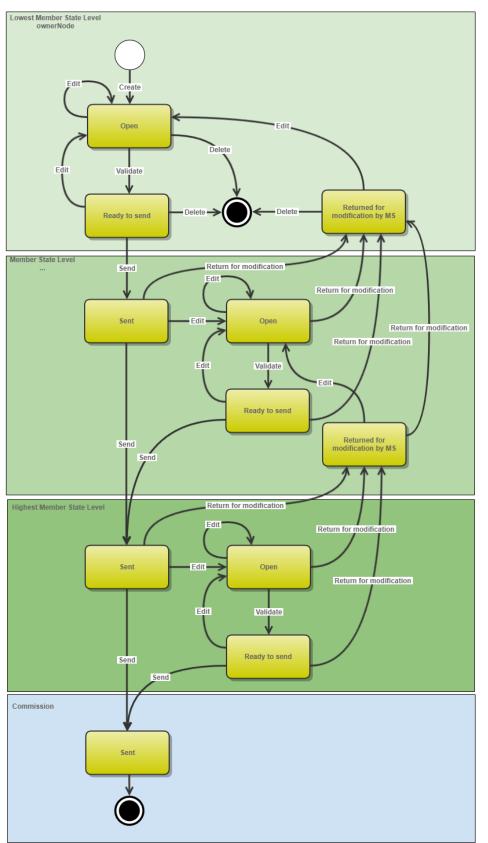
For EMFF, the Annual Implementation Report 2023 is already submitted to the Commission.

## Workflow

This section shows the lifecycle to create and manage the Annex III.

Click <u>here</u> to see the workflow diagram in high resolution.

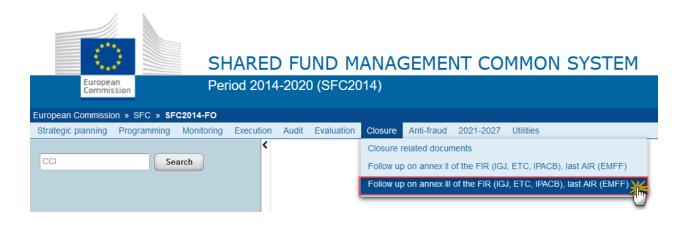
# Annex III State Diagram



## **Create the Annex III**

REMARKIt is a must to have the privilege to create the Annex III, the user has the role of MS<br/>Managing Authority with Update rights.<br/>The version number is automatically provided by the system and starts at 1. As there is no<br/>return by the Commission, the work version is always 0.

1. To access the FOLLOW UP ON ANNEX III OF THE FIR (IGJ, ETC, IPACB), LAST AIR (EMFF) section click on the Closure menu item.



2. Click on the Create new annex III link to create a new Annex III.

l	European Commissi	on » SFC » <b>SF</b>	C2014-FO »	Closure »	Follow up	o on annex III (	of the FIR (	(IGJ, ETC, IPA	CB), last AIR	(EMFF)	
	Strategic planning	Programming	Monitoring	Execution	Audit	Evaluation	Closure	Anti-fraud	2021-2027	Utilities	
>	Search										
	CCI						S	tatus			~
	Version						Previous	node			
	Work version						Current	node			
	Title										
	<b>Q</b> Search	X Clear									
	O Create new ann	ex III	annex III	Export to	excel						
	ссі 🖑	VERSION			TITLE		STA	TUS		PREVI	OUS NO

You are redirected to the Annex III creation wizard:

Annex III creation			□ ×
	1. Genera	Il Details	
CCI*		Cancel Back Next	Finish

#### (1) Select the CCI

The CCI list contains all adopted IGJ, ETC, IPA-CB and EMFF Programmes managed at the User's Node, containing Funds for which the User is registered, and for IGJ, ETC and IPA-CB having a Final Implementation Report version submitted to the Commission, and for EMFF having the 2023 Annual Implementation Report submitted to the Commission. The list returns the CCI and the Programme Title.

(2) Click on the **FINISH** button to confirm the creation action.

The status of the Annex III is **OPEN**.

		-
	The Annex III is linked to the Operational Programme.	
Remark	The Annex III table records are copied either from the last submitted Final Implementation Report for IGJ, ETC and IPA-CB and from the last submitted 2023 Annual Implementation Report for EMFF, or from the last Annex III version sent to the Commission, whatever is the most recent.	
	When the records are coming from the FIR/AIR, then the columns not foreseen in the FIR/AIR come from the last Annex III version sent to the Commission.	

## **Record/Edit the Annex III**

Find all the information to complete each screen of the Annex III. When editing a version of an Annex III, its status is **'OPEN'**, **'READY TO SEND'** or **'SENT'** at the level of the Member State and currently resides on the user's Node.

Below are the links to the main sections:

- <u>General</u>
- <u>Annex III</u>

## General

### **Version Information**

The Version Information contains information on the identification and status of the Annex III Version like the CCI, the Title, the Version Number, the Work Version Number, the Status and the Node where it currently resides. It also shows the results of the last validation done on this Annex III version.

In the Last validation results list, Warning Messages that already existed in the previous minor version will be shown in grey and ordered at the end of the list.

001 004			ational Programme for Spain	
00/ 2014	4ES14MFOP001	Version 1.0	Last modified 27-Mar-2025 13:53	
rrent node Espa	aña	Status Open	Status date 27-Mar-2025	

## **Officials in Charge**

	The Officials in Charge on the first Annex III version are copied from the Final Implementation Report for IGJ, ETC and IPA-CB and from the 2023 Annual Implementation Report for EMFF.
ΝΟΤΕ	For successive Annex III versions, they are copied from the last Annex III version.
	Officials in Charge can be updated at any time, independent from the status of the Annex III.
	The email is directly accessible via the email link.

- Click on the **ADD** button 💿 to add a new official in charge.
- Select an official and click in the **EDIT** button <sup>22</sup> to modify the information of this official.

• Select an official and click on the **Rемоve** button <sup>©</sup> to delete the official in charge selected.

# GENERAL Officials in charge

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

#### GENERAL

Officials	in charge					2
	9					
Nalin	PHONE	EMAIL	VALID FROM	VALID UNTIL	LANGUAGE	
						Þ.

The Edit Details popup window appears:

Edit Detail	s 🖸
Name *	(1)
Phone	
Email *	(2)
Language	
Valid from	
Valid until	
•	Update Cancel

- 2. Enter the following information:
- (1) Enter the Name.
- (2) Enter the Email.
- (3) Click on <u>Update</u> to save the information.

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

#### History

This section shows all the actions that happened in the Annex III since it was created and the resulting Status, for example:

#### GENERAL

History

STATUS	ACTION	COMMENTS	BY LEVEL	DATE	USER
leady to send	Validate		Austria	02-Sep-2014 09:52:57	AT Austria
Open	Create		Austria	01-Sep-2014 14:54:52	AT Austria

#### **Documents**

The Documents list shows all documents uploaded against this version of the Annex III by Member State and by Commission. Member State Users see all their own Documents and the sent Commission Documents. Commission Users see all their own Documents and the sent Member State Documents.

Hyperlinks to the uploaded physical files allow reading the content immediately.

The email of User who sent the Document is directly accessible via the Sent By link.

The following document types will be foreseen:

Snapshot of data before send		х	х	Х
Comments and annotations		х		

## **Uploading & Sending documents**

Multiple documents can be uploaded in the Annex III.

- 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 on 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.
- Selecting a row of a previously uploaded document and click on the **REMOVE** button <sup>(G)</sup> to delete the document and associated attachments.

GENER Docume	AL ents annexed				0
🛈 🔯 TITLE		DOCUMENT DATE	LOCAL REFERENCE	COMMISSION REFERENCE	FILES
•					Þ

1. Click on the ADD button 💿 to add a new document.

#### GENERAL

Documents annexed

	9				
τμh	DOCUMENT TYPE	DOCUMENT DATE	LOCAL REFERENCE	COMMISSION REFERENCE	FILES
•		III			Þ

0

The document detail pop-up window appears:

DI	Document details	
C V	Desurrentteret	Not yet sent
ł	Document type * Title *	(2)
ł	Document date *	
	Local reference	
n	Commission reference	
/ /	Attached files	
v; 0		LANGUAGE FILENAME
		Update & send Cancel

- 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 <u>Update</u> to save the information or <u>Update & Send</u> to send the document to the Commission.

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

The email of User who sent the Document is directly accessible via the 'Sent By' link.

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

## 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)

#### GENERAL

Documents annexed			
TITLE IN	DOCUMENT TYPE	DOCUMENT DATE L C FILE	S SENT DATE SENT BY 💌
OMS - Doc 1	Other Member State document	22-Mar-2017 1 12	

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

Docun	nent details					□ ×
						🗐 Notyetsent
	Document type *	Other Mem	iber State document			*
	Title *	OMS				
	Document date *	22/03/17				
	Local reference	62811437				
	nission reference					
Attack	hed files					
	)					
	TITLE		LANGUAGE		FILENAME	
	OMS		Czech	•	VirtualBox-!	Select file to upload
	OMS2		English	•	OneDriveS	Select file to upload
						Þ
		(	🔊 Update 👔 Upda	te & sena	Cancel	

	The <u>Update &amp; Send</u> link will only be shown for documents which are not integral part of the Object and after at least one attachment was added.
Νοτε	If more than one file are uploaded from the same document table, when clicking the Update <u>&amp; Send</u> link, will send all the files and not only the one(s) for which the check-box has been ticked.

Document details				□ ×
Document type Title Document date Local reference Commission reference Attached files	Reply           19/10/16	When cli will sen	d all files, even	Notyet sent
	LANGUAGE	FILE	IAME	
✓ Reply	English	- Rep	ort.docx	Select file to upload
document	English	- Rep	ort.docx	Select file to upload
٢	🕲 Update 🙀 U	pdate & send	Cancel	>

	Non-integral documents (ie. 'Other Member State Document') can be sent at any time independently of the status of the Annex III. Non-integral document type demands a <u>manual submission</u> (they are NOT sent automatically within the Programme). The other document types, integral documents, are automatically sent - together with the encoded data – when the Programme is submitted to
Remark	the EC. You can find in our <u>Portal</u> the types of documents that can be uploaded and sent by the Member State.
	A document is only visible to the Commission when the <b>Sent Date</b> is visible.

## Deletion of an unsent document

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

GENERAL				
Documents annexed				0
0 0				
TITLE DOCUMENT TYPE	DOCUMENT DATE L C	FILES	SENT DATE	SENT BY 💌
OMS - Doc 1 Other Member State document	22-Mar-2017	12		

A confirmation window appears:

Confirm delete document		
Title	OMS - Doc 1	
Document type	Other Member State document	
Do you really want to delete this document?		

2. Click on <u>Yes</u> to confirm deletion. Click on <u>No</u> to return to the Annex III.

## Hiding a sent document

ΝΟΤΕ	Sent Documents can never be deleted, but the sender can decide to hide the content for the		
	NOTE	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.

GENERA	L					
Documor	ts annexed					Θ
	DOCUMENT TYPE	DOCUMENT DATE	L	COMMISSION REFERENCE	FILES	SENT DATE 💌
Reply	Reply to Commission request	19-Oct-2016		(1)	1	
<						>

2. Select the **HIDE CONTENT (1)** option and click on <u>Update</u> (2) to hide the document.

Document details				□ ×
Document type	Other Member State D	ocument		┩ Sent
Title	OMS			
Document date	08/07/15			
Local reference				
Commission reference				
Attached files				
TITLE	LANGUAGE	FILENAME	HIDE CONTENT	
OMS document	English	report.doc	<b>(1)</b>	
		•		
	The Update	2) Cancel		

## **Observations**

This section is used to provide any relevant information to the Annex III. It can be used as a type of 'chat' between the Member State and Commission.

#### GENERAL



(1) Enter an observation.

All users who have Read and Observation permission on the Annex III 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 Annex III.

## Annex III

	The Annex III table records are copied either from the last submitted Final Implementation Report for IGJ, ETC and IPA-CB and from the last submitted 2023 Annual Implementation Report for EMFF, or from the last Annex III version sent to the Commission, whatever is the most recent.		
	When the records are coming from the FIR/AIR, then the columns not foreseen in the FIR/AIR come from the last Annex III version sent to the Commission.		
Remark	When editing an Operation already defined in the Final/Annual(EMFF) Implementation Report, the columns coming from the Final/Annual(EMFF) Implementation Report will not be editable.		
	The same edit screen is used for ETC, IPA-CB and EMFF. Only the first list box is different:		
	<ul> <li>IGJ: Priority/Fund/Category of region</li> <li>ETC: Priority/Fund</li> <li>IPA-CB: Priority</li> <li>EMFF: Union priority</li> </ul>		
	Adding an Operation record is only allowed when there is a Pre-closure letter or Closure letter sent to the Member State for that Programme in the system.		
	When adding or updating an Operation that did not yet exist in the Final/Annual (EMFF)		

Implementation Report, all fields are updateable.
Only Operations that did not yet exist in the Final/Annual (EMFF) Implementation Report
can be deleted via the delete button $\textcircled{leq}$ . The same applies for ETC, IPA-CB and EMFF.

1. Select a row in the table (1) and click on the EDIT button (2) 🔯 to edit the details

Filter	ANNEX III - L		AFFECTED BY ONGOING NATI ADMINISTRATIVE APPEAL HAVI		
History Documents Observations Annex III		OPERATION REFERENCE	OPERATION TITLE	NAME OF THE BENEFICIARY / RECIPIENT	TOTAL CERTIFIED EXPENDITURE
		141FBD00003	Plan de Gestión Integral Sostenible para la Pesquería del Cerco en el Golfo de Cádiz	Cofradía de pescadores de Sanlúcar de Barrameda	
	1	145AND02951	PARALIZACIÓN TEMPORAL DE ACTIVIDADES PESQUERAS	PESQUERAS LINEMAR S.L.	
	1	145AND03082	PARALIZACIÓN TEMPORAL DE ACTIVIDADES PESQUERAS	PESQUERIAS VIDAL, S.L.	

The Edit details window is displayed:

Edit Details		×
Union Priority *	1 ~	
Operation reference *	141FBD00003	
Operation title *	Plan de Gestión Integral Sostenible para la Pesquería del Cerco en el Golfo de Cádiz	
Name of the beneficiary / recipient *	Cofradía de pescadores de Sanlúcar de Barrameda	
Total Certified Expenditure affected (in EUR) *	41,000.00	
Public contribution affected (in EUR) *	41,000.00	
Operations affected by ongoing national investigations		
Operations suspended by a legal proceeding or by an administrative appeal having suspensory effect		
Proceeding finalized		
Total certified expenditure to be deducted in (EUR) *	2	
Public contribution to be deducted in (EUR) *	3	
Comments (present the outcome of the proceeding)	4	
	(5) Update Cancel	

- **2.** Enter the following information:
- (1) Tick the box *Proceeding finalized* if that is the case
- (2) Enter the *Total certified expenditure to be deducted in (EUR)*.
- (3) Enter the Public contribution to be deducted in (EUR).
- (4) Enter the Comments (present the outcome of the proceeding) (Max. 2.000 characters)
- (5) Click on the <u>Update</u> link to confirm and save the information.

## Validate the Annex III

Remark	The Annex III can be validated only if its status is 'OPEN'.
	It is a must to have the role of <b>MS Managing Authority</b> with Update rights.

1. Click on the <u>Validate</u> link to validate the Annex III.

Search 2014ES14MFOP001 - 1.0			
Validate			🕢 Previous 🍺 Next 😰 Compare to 🕞 🖨
Filter	GENERAL		
<ul> <li>✓ General</li> <li>Version information</li> <li>Officials in charge</li> </ul>	VERSION INFORMATION		6
History Documents	Trt/e European Maritime and	I Fisheries Fund - Operatio	onal Programme for Spain
Observations	CC/ 2014ES14MFOP001	Version 1.0	Last modified 04-Apr-2025 17:31
Annex III	Current node España	Status Open	Status date 04-Apr-2025

Remark	An <b>ERROR</b> will block you from sending the Annex III. The error(s) should be resolved and the Annex III must be revalidated. <b>NOTE</b> that a <b>WARNING</b> does not block you from sending the
	Annex III.

The system validates the following information:

Code	Validation Rule	Severity
2	The system validates the integrity of the input fields	
2.1	Validate that at least one Official in Charge of the Member State exists	WARNING
2.2	Validate that the Annex III version is linked to an Operational Programme with a Final Implementation Report or the 2023 Annual Implementation Report for EMFF once sent to the Commission (implicit in web)	Error
2.3	Validate that all integral documents have at least one attachment with a length > 0	Error

After all errors have been resolved the status of the Annex III becomes **READY TO SEND**.

An example of a validation window:

CI 2014ES	14MFOP001	Version 1.0	Status Open
atest valid	lation resu	lts	
SEVERITY	CODE	MESSAGE	
info		suspensory effect has been validated.	/ ongoing national investigations/suspended by a legal proceeding or by an administrative appeal

<u> Ok</u>

## Send the Annex III

<

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

1. Click on the <u>Send</u> link to send the Annex III to the Commission or to an upper Node.

Search 2014ES14MFOP001 - 1.0			
			🕘 Previous 🛞 Next 😰 Compare to 🕞
Filter	GENERAL		
<ul> <li>✓ General</li> <li>Version information</li> <li>Officials in charge</li> </ul>	VERSION INFORMATION		
History Documents Observations Annex III	Title European Maritime and CCI 2014ES14MFOP001 Current node España	Fisheries Fund - Operational F Version 1.0 Status Ready to send	Programme for Spain Last modified 04-Apr-2025 17:34 Status date 04-Apr-2025

The system will ask you to confirm the send action:

Send confirmation	×
CCI	2014ES14MFOP001
Version	1.0
Title	European Maritime and Fisheries Fund - Operational Programme for Spain
Status	Ready to send
Snapshot of data before send	Follow up of Annex 3 of FIR Snapshot of data before send 2014ES14MFOP001 1.0 es
Do you really want to send the	nis Annex III version?

- 2. Click on Yes to confirm or click on No to return to Annex III.
- **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:

Sign a transaction
Welcome <b>Leo CAMARCIO</b> , you have been requested to digitally sign a transaction. Please authenticate with your EU Login password to perform the signature.
Requested by sfc2014
Description: Follow up of Annex 3 of FIR Snapshot of data before send 2014ES14MFOP001 1.0
Reason: Electronic signature required in accordance with Directive 1999/93/EC
Password
1
<ul> <li>2 Sign</li></ul>

(1) Enter your SFC2014 Password

(2) Click on the 'Sign' button

On success, the Annex III version has been sent to the Commission or to an upper Node and the status is set to **SENT**.

## **Delete the Annex III**

	It is a must to have the privilege to delete the Annex III, the user has the role of MS Managing Authority Update.
Remark	The Annex III can only be deleted when the status is <b>OPEN</b> , <b>READY TO SEND</b> or <b>RETURNED FOR</b> <b>MODIFICATION BY MS</b> , and has <b>never been sent to the Commission</b> before and has <b>no sent</b> <b>documents</b> attached.
	The delete is a physical delete from the system.

1. Click on the <u>Delete</u> link to remove the Annex III from the system.

Search 2014ES14MFOP001 - 1.0 ×			
Filter	GENERAL		Previous      Nex
<ul> <li>General</li> <li>Version information</li> <li>Officials in charge</li> <li>History</li> </ul>	VERSION INFORMATION		
Documents	Title European Maritime and	Fisheries Fund - Operational F	Programme for Spain
Observations Annex III	CCI 2014ES14MFOP001 Current node España	Version 1.0 Status Ready to send	Last modified 04-Apr-2025 17:3 Status date 04-Apr-2025

The system will ask you to confirm the delete action:

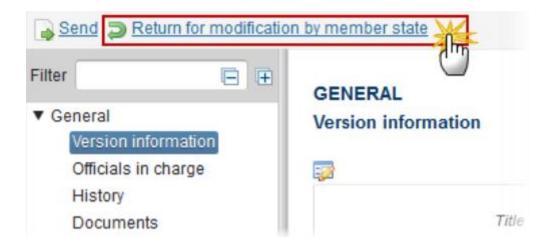
D	elete confirmation	×
	CC/ 2014ES14MFOP001	
	Version 1.0	
	Title European Maritime and Fisheries Fund - Operational Programme for Spain	
	Status Ready to send	
	Do you really want to delete this Annex III version?	
2.	Click on <u>Yes</u> to confirm.	

# **Return Annex III for modification by the MS**

Remark	This function can be used when a user wants to return the Annex III version to a lower Member State/Region Node (when that exists) because it is incomplete or incorrect and needs to be modified. The notification utility will be called to notify the return to the lower Member State/Region Node.
	The Annex III version currently resides at the user's Node and has a status <b>OPEN</b> , <b>READY TO</b> <b>SEND, SENT</b> or <b>RETURNED FOR MODIFICATION BY MS</b> , and a lower level exists.

It is a must to have the role of MS Managing Authority Update.

1. Click on the <u>Return for modification by member state</u> link to return the Annex III to a lower Node.



2. The system will ask you to confirm the Return for modification:

Title	Annex III
Version	
Reason for return *	Reason for return
conf	Irmation (2)

- (1) Enter the Reason for Return
- (2) Click on <u>Yes</u> to confirm.

On success, the Annex III version has been set in status **RETURNED FOR MODIFICATION BY MS**.