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 'About SFC2014' 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.
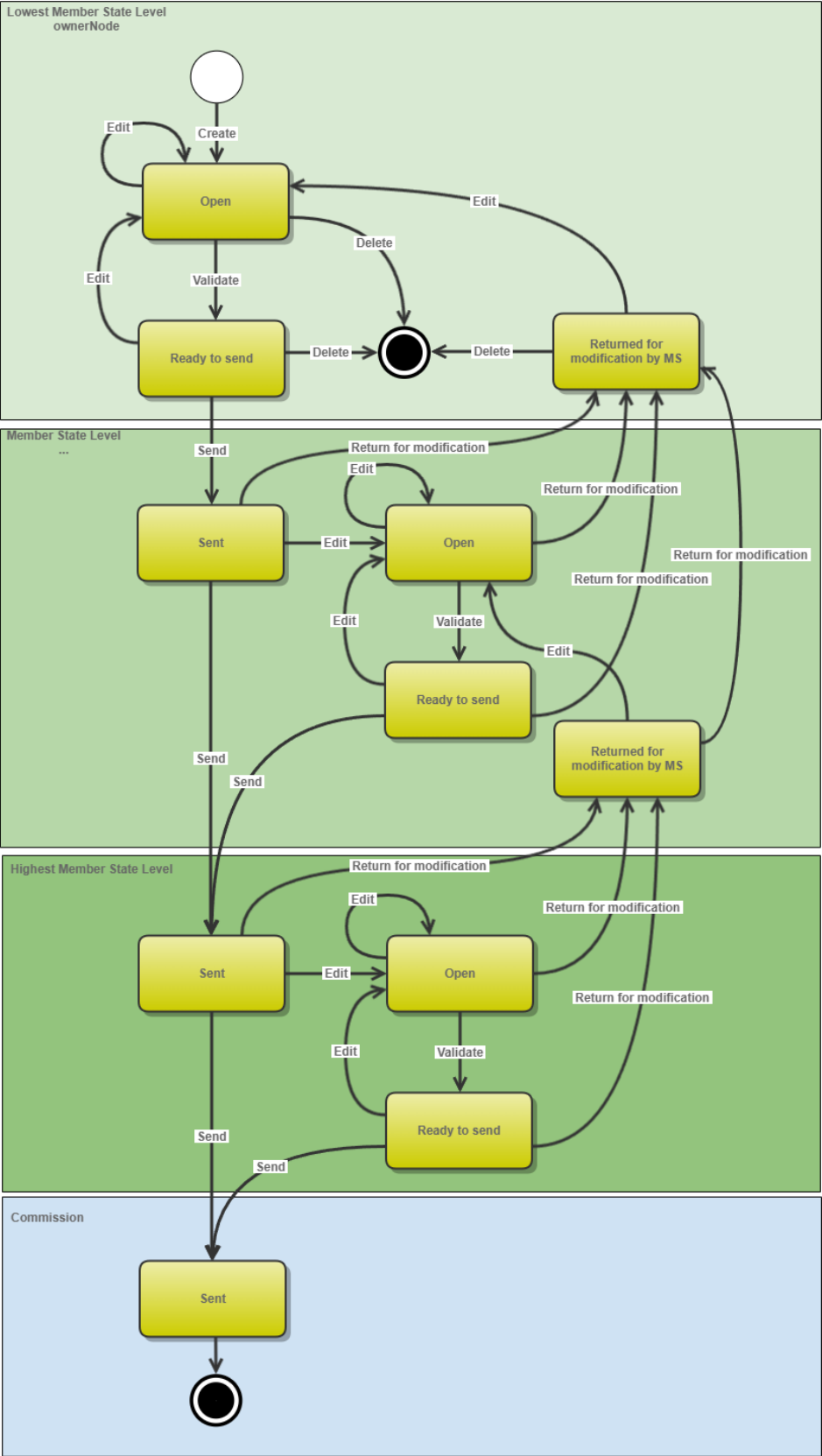
For EMFF, the Annual Implementation Report 2023 is already submitted to the Commission.

Workflow

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

Click here to see the workflow diagram in high resolution.

Annex III State Diagram

Lowest Member State Level
ownerNode

- Edit
- Create
- Open
- Edit
- Delete
- Validate
- Ready to send
- Delete
- Delete
- Edit
- Returned for modification by MS

Member State Level
...

- Send
- Return for modification
- Edit
- Sent
- Edit
- Open
- Return for modification
- Edit
- Validate
- Return for modification
- Edit
- Ready to send
- Return for modification
- Returned for modification by MS
- Send
- Send

Highest Member State Level

- Return for modification
- Edit
- Sent
- Edit
- Open
- Return for modification
- Edit
- Validate
- Return for modification
- Ready to send
- Send
- Send

Commission

- Sent

Create the Annex III

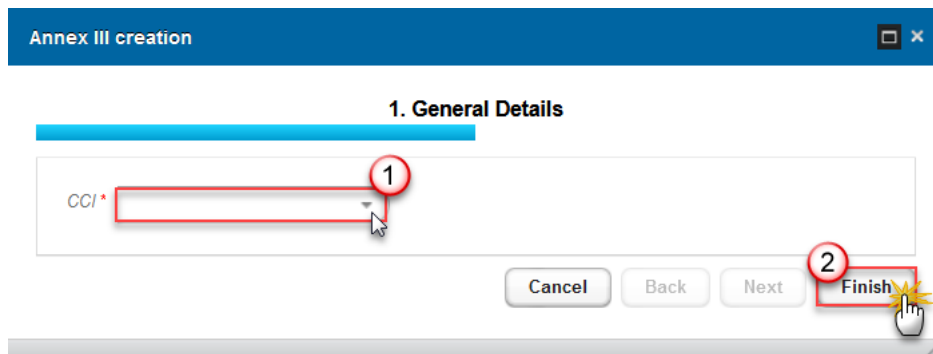|	
REMARK	It is a must to have the privilege to create the Annex III, the user has the role of **MS Managing Authority with Update rights.**
	The version number is automatically provided by the system and starts at 1. As there is no return by the Commission, the work version is always 0.

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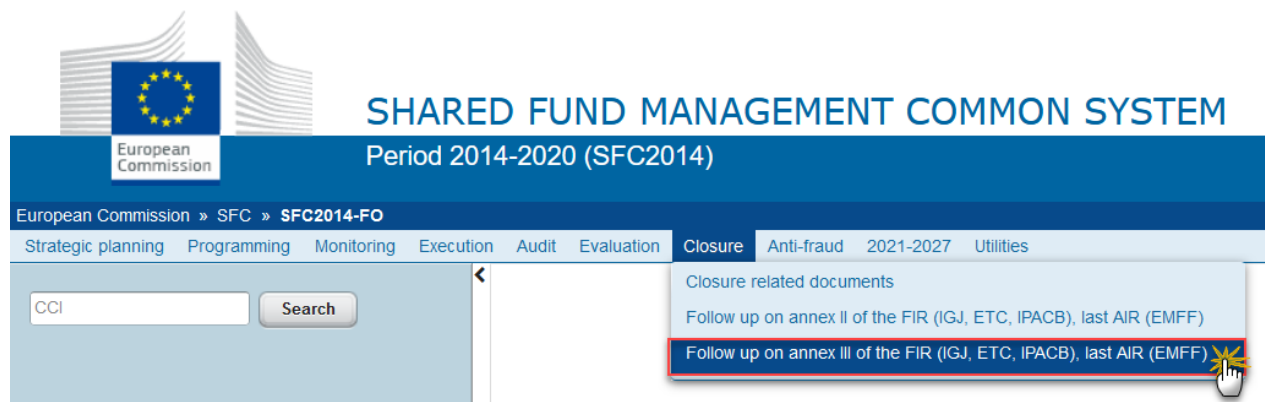
2. Click on the **Create new annex III** link to create a new Annex III.

You are redirected to the Annex III creation wizard:

(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**.

REMARK	The Annex III is linked to the Operational Programme.
	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:

- [General](#)
- [Annex III](#)

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.

GENERAL
VERSION INFORMATION

Title	European Maritime and Fisheries Fund - Operational Programme for Spain		
CCI 2014ES14MFOP001	*Version* 1.0	*Last modified* 27-Mar-2025 13:53	
Current node España	*Status* Open	*Status date* 27-Mar-2025	

Latest validation results

SEVERITY	CODE	MESSAGE

Officials in Charge

NOTE	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.
	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 🖉 to modify the information of this official.

- Select an official and click on the **REMOVE** button ⊖ to delete the official in charge selected.

GENERAL
Officials in charge

NAME	PHONE	EMAIL	VALID FROM	VALID U

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

GENERAL
Officials in charge

N	PHONE	EMAIL	VALID FROM	VALID UNTIL	LANGUAGE

The Edit Details popup 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 Annex III since it was created and the resulting Status, for example:

GENERAL

History

STATUS	ACTION	COMMENTS	BY LEVEL	DATE	USER
Ready 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:

Description	Non-Integral	Integral	System	Required

|				
Snapshot of data before send		X	X	X
Comments and annotations		X		

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 ⊖ to delete the document and associated attachments.
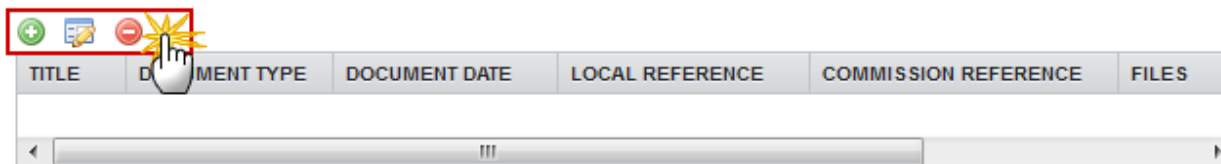
1. Click on the ADD button ⊕ to add a new document.
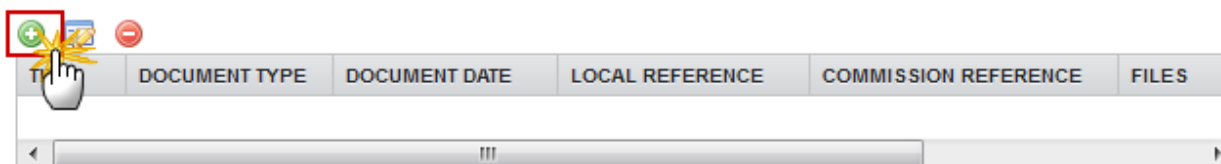
The document detail pop-up window appears:

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.

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)**

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

NOTE	The **Update & Send** link will only be shown for documents which are not integral part of the Object 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.

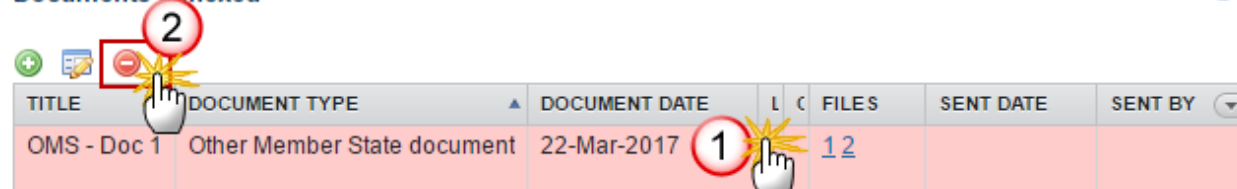| **REMARK** | **Non-integral documents** (ie. 'Other Member State Document') can be sent at any time independently of the status of the Annex III.

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 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. |

Deletion of an unsent document

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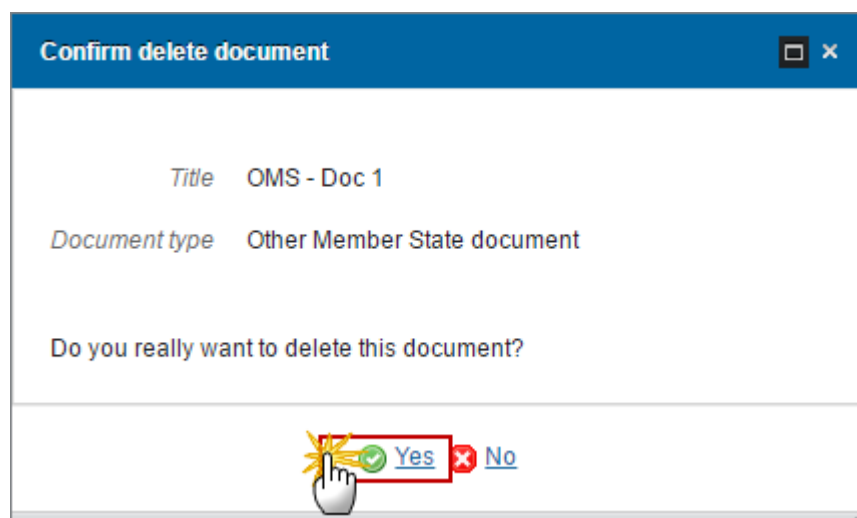
GENERAL

Documents annexed

A confirmation window appears:

2. Click on **Yes** to confirm deletion. Click on **No** to return to the Annex III.

Hiding a sent document

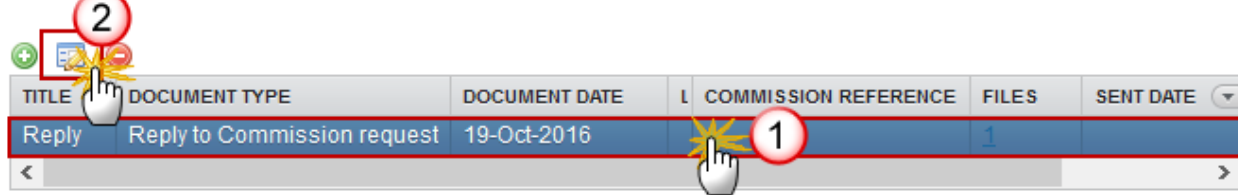|	
NOTE	Sent Documents can never be deleted, but the sender can decide to hide the content for the receivers in case of an erroneous and/or accidental send.

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 document.

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
Observations

(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

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.
	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:
	• IGJ: Priority/Fund/Category of region • ETC: Priority/Fund • IPA-CB: Priority • EMFF: Union priority
	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 🛇. 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

The Edit details window is displayed:

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 **Update** 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 **MS Managing Authority** with Update rights.

1. Click on the **Validate** link to validate the Annex III.
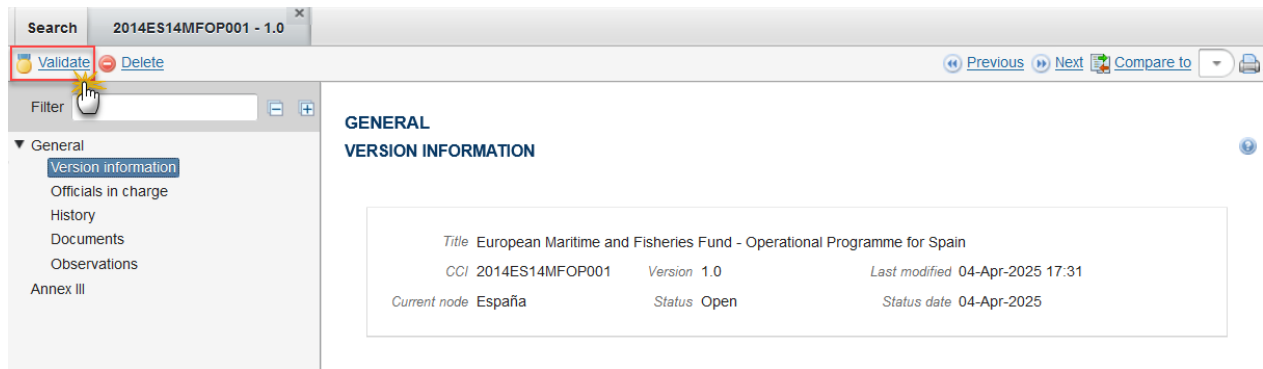
	An **ERROR** will block you from sending the Annex III. The error(s) should be resolved and the Annex III must be revalidated. **NOTE** that a **WARNING** does not block you from sending the Annex III.
REMARK	

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:

Validation results

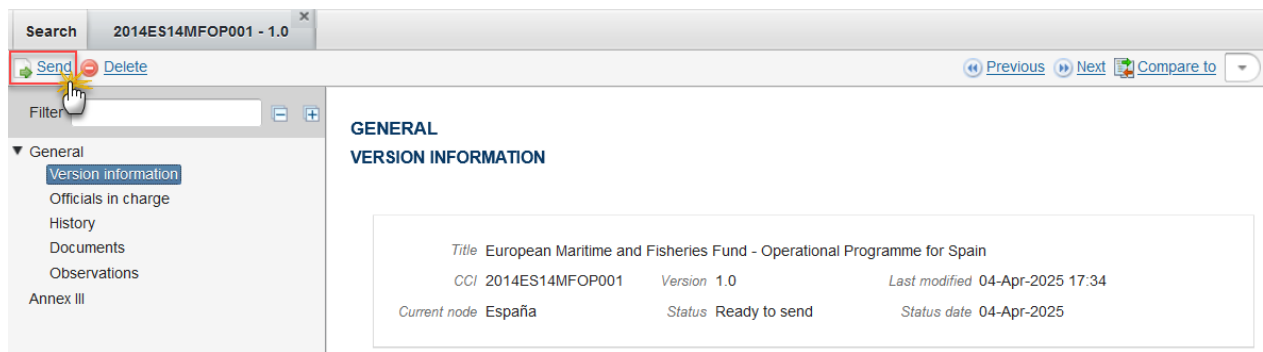*CCI* 2014ES14MFOP001   *Version* 1.0   *Status* Open

Latest validation results

SEVERITY	CODE	MESSAGE
Info		Annex III – List of operations affected by ongoing national investigations/suspended by a legal proceeding or by an administrative appeal h suspensory effect has been validated.

〈   〉

✅ Ok

Send the Annex III

REMARK	The Annex III 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 Annex III, the user has the role **MS Managing Authority Send.**
	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 Annex III to the Commission or to an upper Node.

The system will ask you to confirm the send action:

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:

(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**.
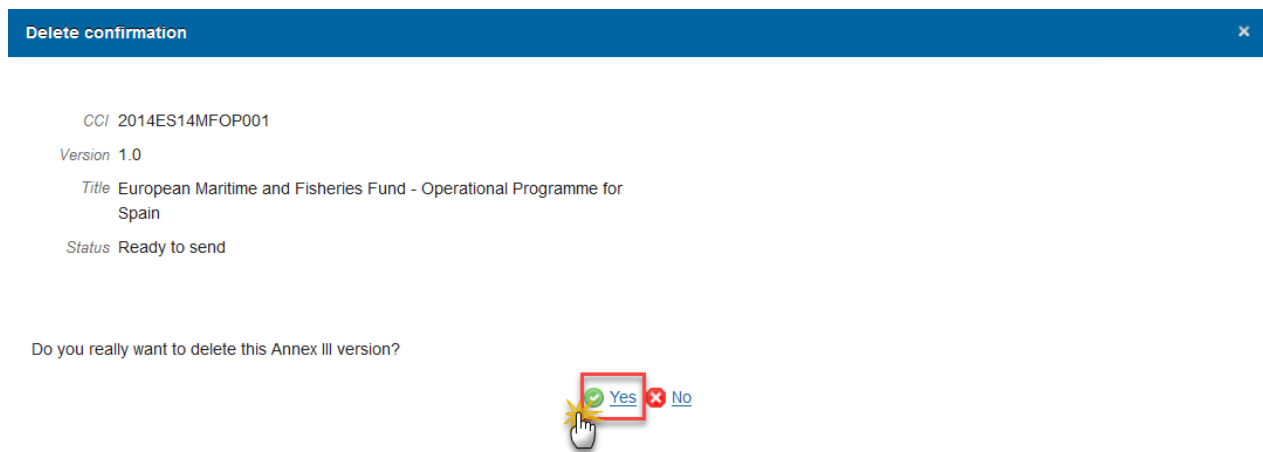
Delete the Annex III

REMARK	It is a must to have the privilege to delete the Annex III, the user has the role of **MS Managing Authority Update**.
	The Annex III can only 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 delete is a physical delete from the system.

1. Click on the **Delete** link to remove the Annex III from the system.
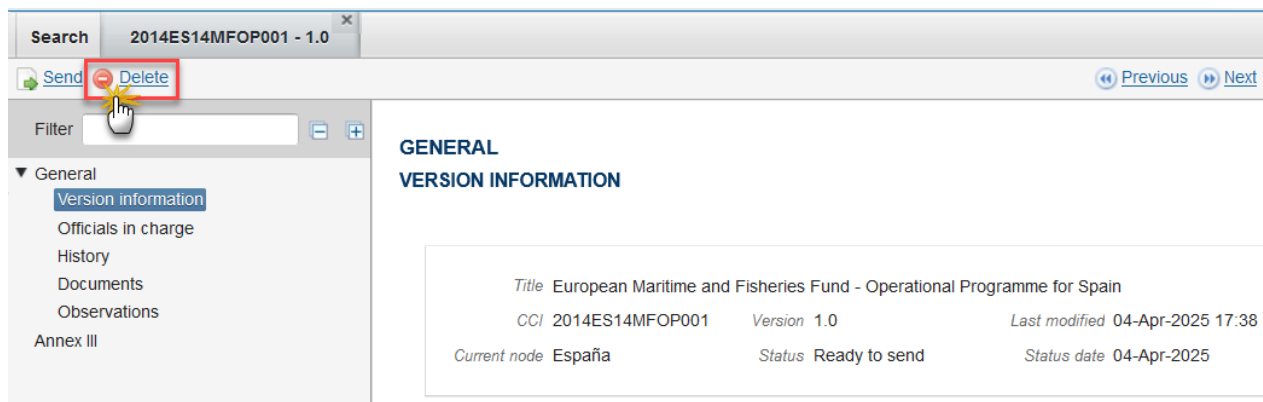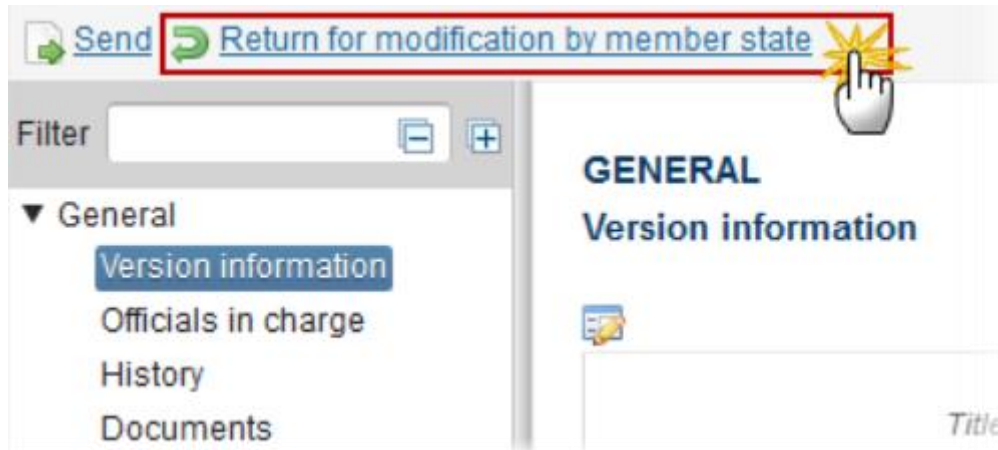
The system will ask you to confirm the delete action:

2. Click on **Yes** 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 **OPEN**, **READY TO SEND, SENT** or **RETURNED FOR MODIFICATION BY MS**, and a lower level exists.

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

1. Click on the **Return for modification by member state** link to return the Annex III to a lower Node.

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

(1) Enter the *Reason for Return*

(2) Click on **Yes** to confirm.

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