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National Audit Report (IGJ/ETC, EMFF, FEAD, IPA-CB & ENI-CB)

PURPOSE OF THIS FUNCTIONALITY

This document describes the different steps and action options at the level of the Commission for the National Audit Report (NAR) procedure under Article 128(1) of the CPR Regulation and more specific those related to IGJ, ETC, EMFF, FEAD, IPA-CB & ENI-CB. There are no deadlines or fixed frequencies for the submission of the National Audit Report

CONCERNED FUNDS

IGJ, ETC, EMFF, FEAD, IPA-CB & ENI-CB.

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 National Audit Report IGJ/ETC, EMFF, FEAD, IPA-CB & ENI-CB have been sent to the Commission: The status is set to 'SENT'

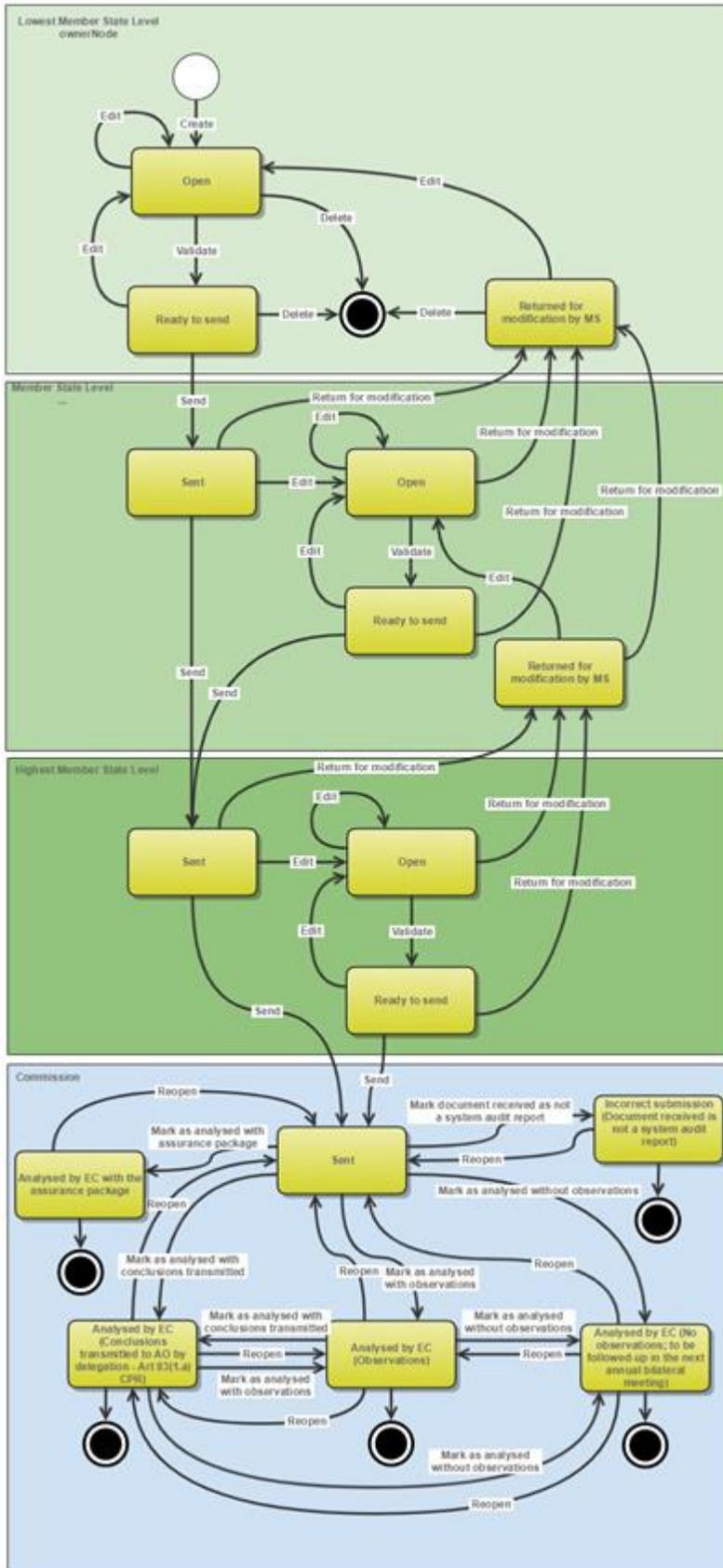
Workflow

This section shows the lifecycle to create and manage the National Audit Report.

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

Click [here](#) to see the NAR state diagram in high resolution.

National Audit Report Diagram



Documents

Document Types

The following document types will be foreseen:

Description	Internal Code	Direction	Integral	System	Required	Non-Integral
EC Letter*	NAR.ECL	EC2MS	X			
Acknowledgment of receipt	ACK.NARSNT	EC2MS		X	X	
Other Commission document	NAR.OC	EC2MS				X

*This document can be read only by the MS Audit Authority roles.

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.

Mark as analysed (no observations) confirmation ×

Title National Audit

Version 1.0

Document to be send with this action to the Member State

Title * **1**

Document date * **2**

Local reference

Commission reference **3**

Attached files

TITLE	LANGUAGE	FILENAME
911506.911508 ACK.PRGST Programme Acknowledgement 2014DE65ISNP001 1.0 de-Programme_Acknowledgement_2014DE65ISNP001_1_0_de.pdf	German	911506.911508 ACK.Acknowledg

Do you really want to mark as analysed whitout observations



1. Enter the following information:

- (1)** Enter the *Title*
- (2)** Enter 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

- (4)** Click [Yes](#) to confirm the action

REMARK	<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>
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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.

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.PRGSENT 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"/>

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

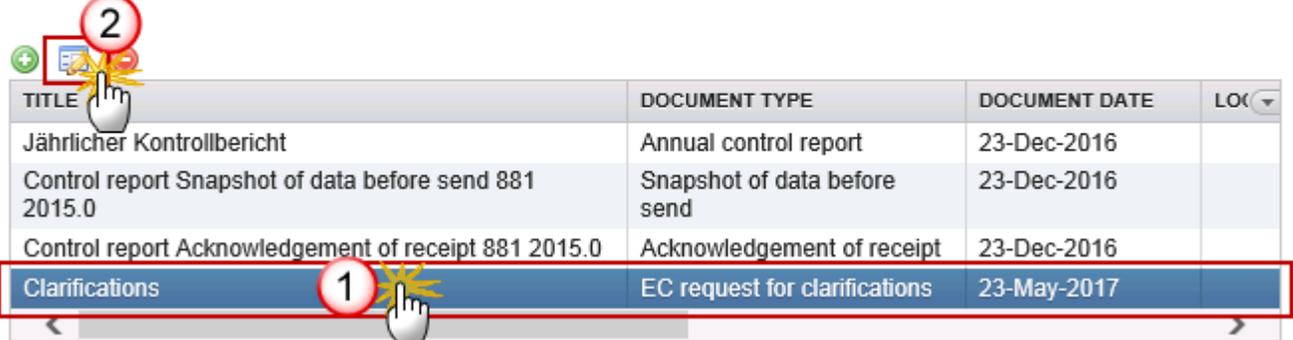
REMARK

If the ARES document **has already been sent** 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.

3. 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	

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

Attached files



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



Action Options

1. Login to <https://webgate.ec.europa.eu/sfc2014/frontoffice/ui>
2. To access into the **NATIONAL AUDIT REPORT (NAR) (IGJ/ETC, EMFF, FEAD, IPA-CB & ENI-CB)** section, first click on the **AUDIT** link (1) in the menu and then on the [National Audit Report \(IGJ/ETC\), EMFF, FEAD, IPA-CB](#) or [ENI-CB](#) link (2).

» Audit » National audit report (IGJ,ETC)

Strategic planning Monitoring Commission decision Execution Final report (EGF) **Audit** 1 Evaluation Closure Anti-fraud

Audit strategy
 Annual control report (IGJ,ETC)
 Annual control report (EMFF)
 Annual control report (FEAD)
 Audit documents (AMIF,ISF)
 National audit report (obsolete)
 National audit report (IGJ,ETC) 2
 National audit report (EMFF)
 National audit report (FEAD)
 National audit report (IPA-CB)
 EC audit report

Title Status
 Previous node
 Current node
 Date of the final audit report

[Export to excel](#)

	DATE OF THE FINAL AUDIT REPORT	VERSION	STATUS		
»	01-Aug-2017	1.0	Sent	03-Oct-2017	Italy

- Choose the National Audit Report IGJ/ETC, EMFF, FEAD, IPA-CB or ENI-CB version you want from the list in the search screen (1) and click on [Show national audit report](#) link (2)

European Commission » SFC » SFC2014-FO » Audit » National audit report (IPA-CB)

Strategic planning Programming Monitoring Execution Audit Evaluation Closure Anti-fraud

Search

Title Status
 Version Previous node
 Work version Current node
 CCI Date of the final audit report

[Show national audit report](#) 2

TITLE	DATE OF THE FINAL AUDIT REPORT	VERSION	STATUS	STATUS DATE	PREVIOUS NODE
National Audit	03-Jul-2017	1.0	Sent	03-Jul-2017	Germany (EA)

A number of Action Options are available:

Mark as analysed (no observations) Mark as analysed with assurance package Mark as incorrect submission Mark as analysed (conclusions transmitted) Mark as analysed (observations)

Filter **1**

GENERAL **2**

Version information **3**

Title test nar2 **4**

Date of the final audit report 12-Dec-2018 Version 1.0 Last modified 12-Dec-2018

Current node European Commission Status Sent **5**

Status date 12-Dec-2018

Latest validation results

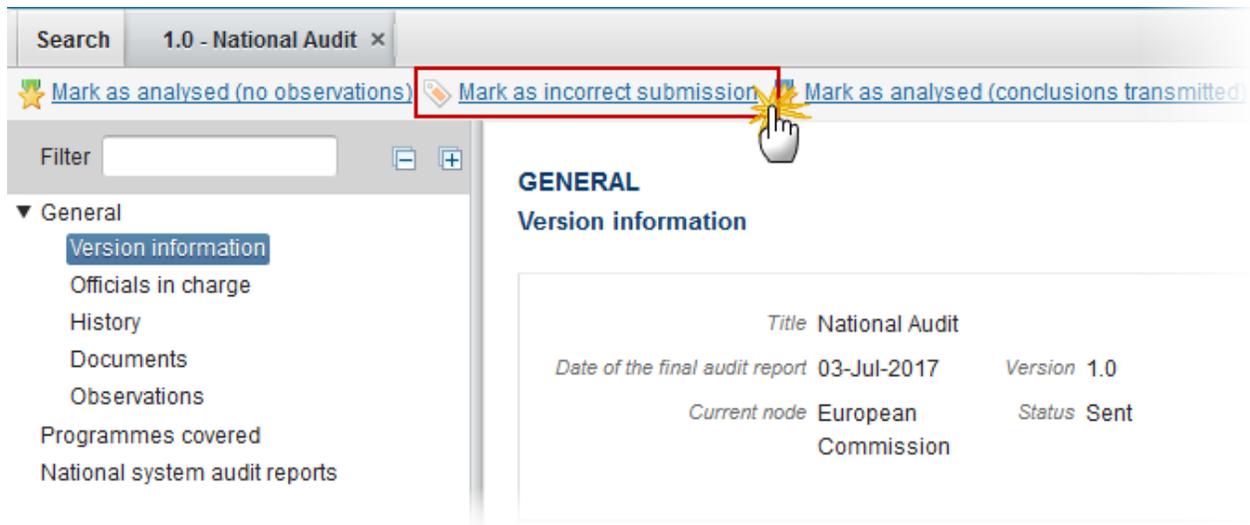
SEVERITY	CODE	MESSAGE
Info		National audit report version has been validated.
Warning	2.1	At least one official in charge of the Member State should exist.

- (1)** [Mark as analysed and having no observations](#)
- (2)** [Mark as analysed with assurance package](#)
- (3)** [Mark document received as not a system audit report](#)
- (4)** [Mark as analysed and conclusions transmitted](#)
- (5)** [Mark as analysed and having observations](#)

Mark document received as not a system audit report

An EC Audit Agent with Update access is allowed to mark the NAR version IGJ/ETC, EMFF, FEAD, IPA-CB or ENI-CB sent by the Member State as not containing a system audit report. No EC observations will be given. The National Audit Report is in a status 'Sent' at the level of the Commission

1. Click on the [Mark as not a system audit report](#) link:



The system will ask you to confirm the action.

During this action by the Commission, the actor can optionally add a document "**EC letter**" (**NAR.ECL**) with attachments that will be send 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 Letter

This document can be read only by the MS Audit Authority roles.

After clicking on the [Mark as not a system audit report](#) link the confirmation screen appears:

Mark as incorrect submission confirmation ×

Title National Audit

Version 1.0

Document to be send with this action to the Member State

Title * Incorrect submission **1**

Document date * 07/07/17 **2**

Local reference

Commission reference **3**

4 Add files

TITLE	LANGUAGE	FILENAME	
<input type="checkbox"/> 5	English 6	Report.docx	7 Select file to upload

Do you really want to mark as incorrect submission this control report version?

8  Yes No

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) Click on the Add button  to add the documents

(5) Enter the *Title*

(6) Enter the *Language*

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

(8) Click [Yes](#) to confirm the action and mark this national audit report version as Incorrect Submission.

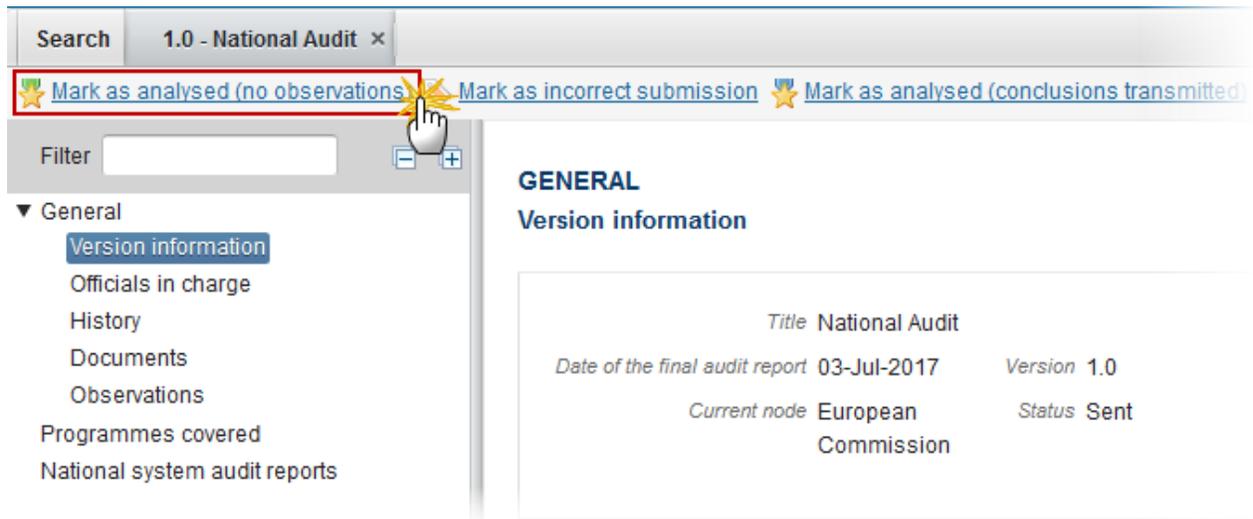
On success, the National Audit Report version status was set to 'INCORRECT SUBMISSION (DOCUMENT RECEIVED IS NOT A SYSTEM AUDIT REPORT)'.

Mark as analysed (no observations)

REMARK	The system now allows transitions between ' ANALYSED BY EC (CONCLUSIONS TRANSMITTED) ', ' ANALYSED BY EC (OBSERVATIONS) ' and ' ANALYSED BY EC (NO OBSERVATIONS) '. This is useful in the scenario where the Commission sends an EC assessment letter with the status "Analysed by EC (observations)" or "Analysed by EC (conclusions transmitted to AOD)" and the Member State reply with the document "Other MS document". The Commission will assess this reply and this could lead to another conclusion.
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This option is when an EC Audit Agent with Update access wants to indicate that the National Audit Report Version sent by the Member State was analysed and that there are no observations. The National Audit Report is in a status '**SENT**', '**ANALYSED BY EC (OBSERVATIONS)**', '**ANALYSED BY EC (CONCLUSIONS TRANSMITTED TO AO BY DELEGATION)**' at the level of the Commission.

1. Click on the [Mark as analysed \(no observations\)](#) link:



The screenshot shows a web interface for a National Audit Report. At the top, there is a search bar and a tab labeled '1.0 - National Audit'. Below the search bar, there are three links: 'Mark as analysed (no observations)', 'Mark as incorrect submission', and 'Mark as analysed (conclusions transmitted)'. The first link is highlighted with a red box and a mouse cursor. Below the links, there is a filter input field and a sidebar menu with options like 'Version information', 'Officials in charge', 'History', 'Documents', 'Observations', 'Programmes covered', and 'National system audit reports'. The main content area shows 'GENERAL Version information' with a table of details:

<i>Title</i>	National Audit		
<i>Date of the final audit report</i>	03-Jul-2017	<i>Version</i>	1.0
<i>Current node</i>	European Commission	<i>Status</i>	Sent

The system will ask you to confirm the action.

During this action by the Commission, the actor can optionally add a document "EC letter" (NAR.ECL) with attachments that will be send 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 Letter

This document can be read only by the MS Audit Authority roles.

After clicking on the [Mark as analysed \(no observations\)](#) link the confirmation screen appears:

Mark as analysed (no observations) confirmation ×

Title National Audit
Version 1.0

Document to be send with this action to the Member State

Title * Analysed 1

Document date * 07/07/17 2

Local reference

Commission reference 3

4 Add files

TITLE	LANGUAGE	FILENAME
5	6 English	Report.docx 7 Select file to upload

Do you really want to mark as analysed whitout observations

8 Yes No

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) Click on the Add button  to add the documents

(5) Enter the *Title*

(6) Enter the *Language*

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

(8) Click [Yes](#) to confirm the action and send the documents and set the status to Analysed by EC.

On success, the National Audit Report version status was set to '**ANALYSED BY EC (NO OBSERVATIONS; TO BE FOLLOW-UP IN THE NEXT ANNUAL BILATERAL MEETING)**'.

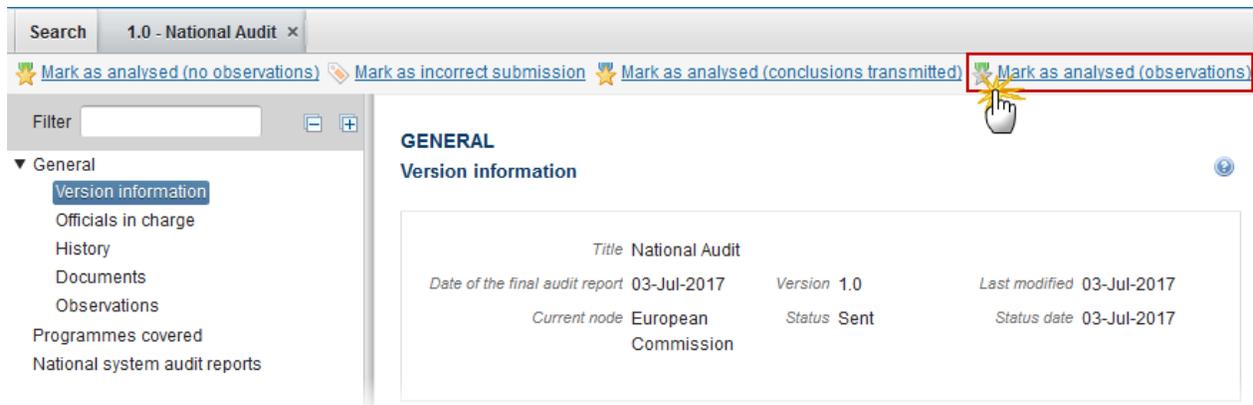
Mark as analysed (observations)

REMARK	The system now allows transitions between ' ANALYSED BY EC (CONCLUSIONS TRANSMITTED) ', ' ANALYSED BY EC (OBSERVATIONS) ' and ' ANALYSED BY EC (NO OBSERVATIONS) '. This is useful in the scenario where the Commission sends an EC assessment letter with the status "Analysed by EC (observations)" or "Analysed by EC (conclusions transmitted to AOD)" and the Member State reply with the document "Other MS document". The Commission will assess this reply and this could lead to another conclusion.
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This option is selected when an EC Audit Agent with Update access wants to indicate that the National Audit Report version sent by the Member State was analysed and that there are observations.

The National Audit Report is in a status '**SENT**' or '**ANALYSED BY EC (CONCLUSIONS TRANSMITTED TO AO BY DELEGATION)**' at the level of the Commission

1. Click on the [Mark as analysed \(observations\)](#) link.



The system will ask you to confirm the action.

During this action by the Commission, the actor can optionally add a document "EC letter" (NAR.ECL) with attachments that will be send 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 Letter

This document can be read only by the MS Audit Authority roles.

After clicking on the [Mark as analysed \(observations\)](#) link the confirmation screen appears:

Mark as analysed (observations) confirmation ×

Title National Audit

Version 1.0

Document to be send with this action to the Member State

Title * 1

Document date * 2

Local reference

Commission reference 3

Add files 4

TITLE	LANGUAGE	FILENAME	
<input type="checkbox"/> 5	English 6	Report.docx	Select file to upload 7

Do you really want to mark as analysed (observations) this control report version?

8 Yes No

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) Click on the Add button to add the documents

(5) Enter the *Title*

(6) Enter the *Language*

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

(8) Click [Yes](#) to confirm the action and mark this National Audit Report as analysed with observations.

On success, the National Audit Report version status was set to '**ANALYSED BY EC (OBSERVATIONS)**'.

Mark as analysed (conclusions transmitted)

REMARK	The system now allows transitions between ' ANALYSED BY EC (CONCLUSIONS TRANSMITTED) ', ' ANALYSED BY EC (OBSERVATIONS) ' and ' ANALYSED BY EC (NO OBSERVATIONS) '. This is useful in the scenario where the Commission sends an EC assessment letter with the status "Analysed by EC (observations)" or "Analysed by EC (conclusions transmitted to AOD)" and the Member State reply with the document "Other MS document". The Commission will assess this reply and this could lead to another conclusion.
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This option is when an EC Audit Agent with Update access wants to indicate that the National Audit Report Version sent by the Member State was analysed and that the conclusions were transmitted to the authorising officer.

The National Audit Report is in a status '**SENT**' or '**ANALYSED BY EC (OBSERVATIONS)**' at the level of the Commission

1. Click on the [Mark as analysed \(conclusions transmitted\)](#) link.

The screenshot shows the user interface for a National Audit Report. At the top, there is a search bar and a tab labeled '1.0 - National Audit'. Below the search bar, there are four action links: 'Mark as analysed (no observations)', 'Mark as incorrect submission', 'Mark as analysed (conclusions transmitted)', and 'Mark as analysed (no observations)'. The 'Mark as analysed (conclusions transmitted)' link is highlighted with a red box and a mouse cursor icon. On the left side, there is a navigation menu with a 'Filter' input field and a 'General' section containing links for 'Version information', 'Officials in charge', 'History', 'Documents', 'Observations', 'Programmes covered', and 'National system audit reports'. The 'Version information' link is highlighted. The main content area is titled 'GENERAL' and 'Version information', displaying a table with the following data:

Title	National Audit		
Date of the final audit report	03-Jul-2017	Version	1.0
Current node	European Commission	Status	Sent

The system will ask you to confirm the action.

During this action by the Commission, the actor can optionally add a document "EC letter" (NAR.ECL) with attachments that will be send 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 Letter

This document can be read only by the MS Audit Authority roles.

After clicking on the [Mark as analysed \(observations\)](#) link the confirmation screen appears:

Mark as analysed (conclusion transmitted) confirmation ×

Title National Audit
Version 1.0

Document to be send with this action to the Member State

Title * Analysed 1

Document date * 07/07/17 2

Local reference

Commission reference 3

Attached files 4

TITLE	LANGUAGE	FILENAME
5	6 English	Report.docx 7 Select file to upload

Do you really want to mark as analysed (conclusion transmitted) this control report version?

8
Yes No

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) Click on the Add button  to add the documents

(5) Enter the *Title*

(6) Enter the *Language*

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

(8) Click [Yes](#) to confirm the action and mark this national audit report as analysed and conclusions transmitted.

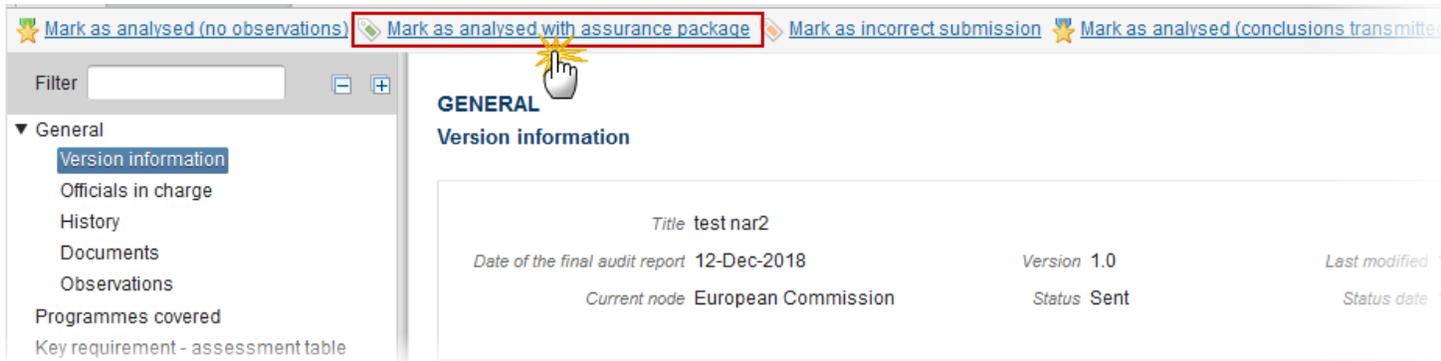
On success, the National Audit Report version status was set to '**ANALYSED BY EC (CONCLUSIONS TRANSMITTED TO THE AUTHORISING OFFICER BY DELEGATION, CF. ARTICLE 83(1.A) CPR**'.

Mark as analysed with assurance package

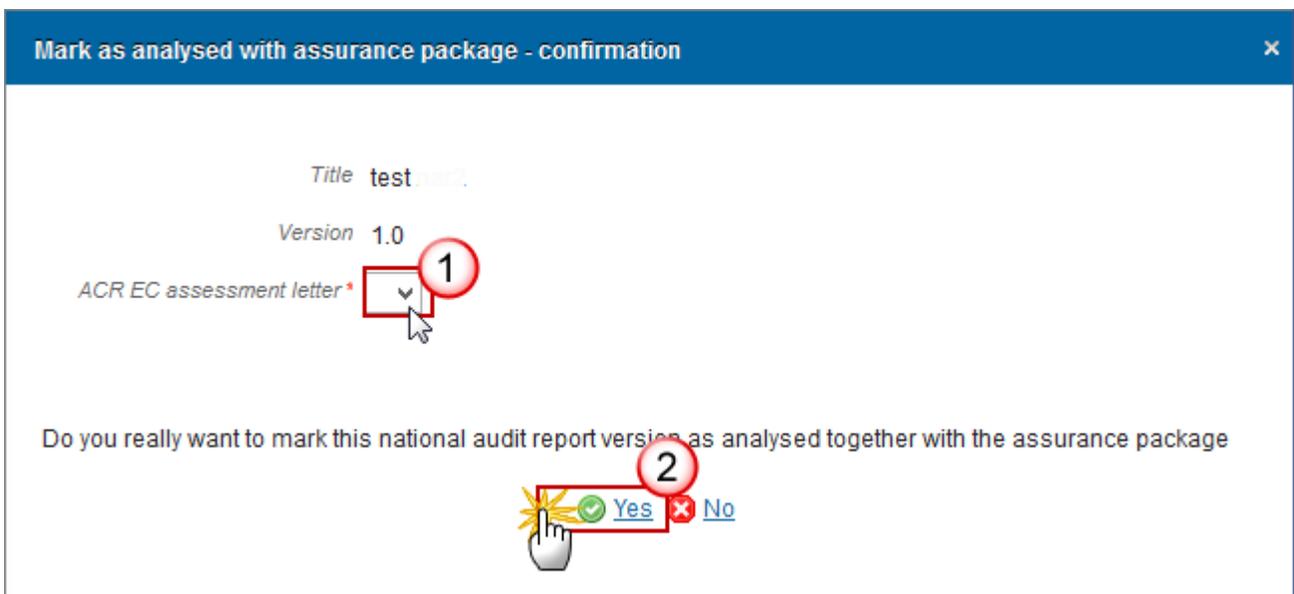
An EC Audit Agent with Update access is allowed to indicate that the National Audit Report Version sent by the Member State was analysed with the assurance package.

REMARK	<p>The NAR version is in a status 'SENT' at the level of the Commission.</p> <p>The EC Audit Agent must add the Ares number of the EC Assessment Letter or EC Final Position Letter or Other Commission Document uploaded against the ACR.</p> <p>The list will contain the Ares numbers of EC assessment letters (CR.EAL) and EC Final Position Letters (CR.FPL) and Other Commission Documents (CR.OC) uploaded against ACRs covering one of the CCIs covered by this NAR version, ordered descending. The list should show only one occurrence per Ares number, namely the most recent sent document (based on the sent date).</p> <p>With this status the ARES reference of the 'EC assessment letter' & 'EC Final Position Letter' & 'Other Commission Document' sent in the ACR module should be visible.</p>
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1. Click on the [Mark as analysed with assurance package](#) link.



The system will ask you to confirm the action:



2. Enter the following information:

(1) Select the *ARES number of the EC Assessment Letter* uploaded against the ACR.

The list will contain the ARES number of EC assessment letters (CR.EAL), EC final position letters (CR.FPL) & and Other Commission Documents (CR.OC) uploaded against ACRs covering one of the CCI covered by this NAR version, ordering descending.

It is a must to add the ARES number.

(2) Click on [‘Yes’](#) to confirm that you want to mark the NAR version as analysed with the assurance package.

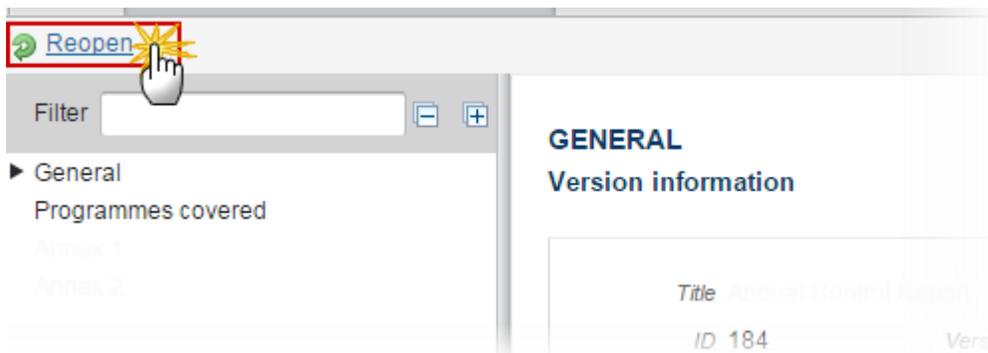
On success, the National Audit Report version status was set to **'ANALYSED BY EC WITH ASSURANCE PACKAGE'**.

Reopen National Audit Report

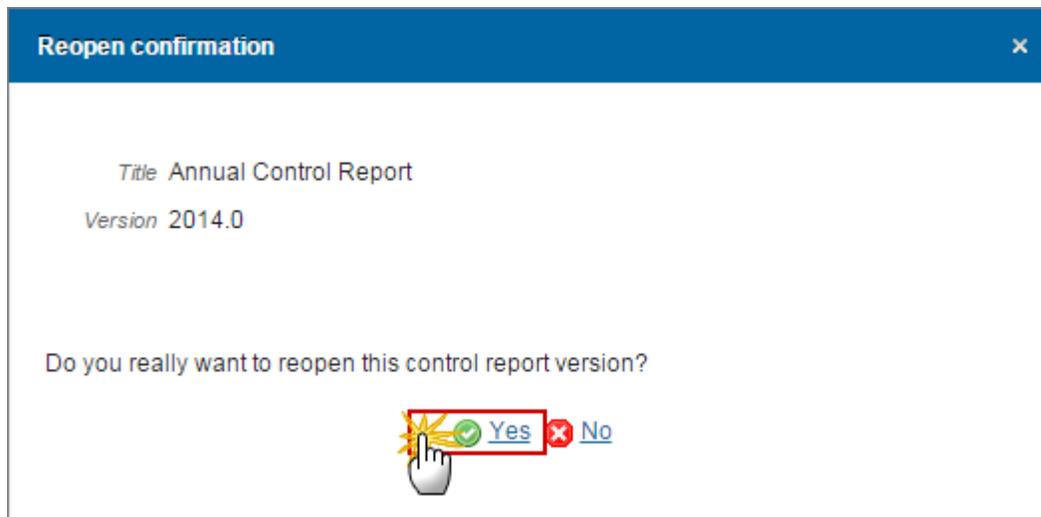
An EC Audit Agent with Update access is allowed to reopen the NAR version in order to undo the last action performed on the NAR by returning to the previous status of the NAR version.

REMARK	The NAR version is in a status 'INCORRECT SUBMISSION (DOCUMENT RECEIVED IS NOT A SYSTEM AUDIT REPORT)' OR 'ANALYSED BY EC (NO OBSERVATIONS; TO BE FOLLOWED-UP IN THE NEXT ANNUAL BILATERAL MEETING)' OR 'ANALYSED BY EC (CONCLUSIONS TRANSMITTED TO THE AUTHORISING OFFICER BY DELEGATION, CF. ARTICLE 83(1.A) CPR)' OR 'ANALYSED BY EC (OBSERVATIONS)' OR 'ANALYSED BY EC WITH THE ASSURANCE PACKAGE' .
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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 NAR version has been reopened and its status was set to its previous status.