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Standalone and Referring Documents for EC users

PURPOSE

This document describes the specifications and details related to the management of Standalone and Referring documents. Standalone documents exist by themselves and do not refer to any other object in the system. Referring documents also exist by themselves but refer to a CCI. Both documents never exist under any versioned object in the system, they are independent and therefore never integral.

REGULATIONS

More detail regarding the regulation of the Standalone or Referring Documents can be found in **About SFC2014** section of this portal.

DOCUMENTS & ROLES

Documents & Roles involved in the currently available Standalone and Referring Documents for EC users are listed below.

Click here to see the Table documents in high resolution.

Menu	Menu Item	Document type(s)	Funds	Role(s)	
				EC Operational Agent	EC Audit Agent
Programming	Other communications documents	Other Communications Commison Document	EAFRD, AMIF, ISF	x	x
	Transitory Major Project	- Major Project Notification Form - Major Project Application Form	ERDF, CF, IPA(e)	x	
	Designation of Authorities	Other Commission Document System Review Letter Summary Review Letter	AMIF, ISF	x	x
	Communication strategy	Communication Strategy Request - CPR article 116	ERDF, CF, ESF, YEI, IPA(e)	x	
	Ex-ante conditionality fulfillment report	Ex-ante Conditionality Fulfillment Report Request- CPR article 19	ERDF, CF, ESF, YEI, EMFF, EAFRD	x	
	Transitory joint action plan	- Official Commission Observation - EC Acceptance Letter	ERDF, CF, ESF, YEI	x	
Monitoring	List of selected operations (EMFF Art.97(1)a)	Other Commission Document	EMFF	x	
	Monitoring committee	Monitoring Committee Commission Documents - CPR articles 47-49	ERDF, CF, ESF, YEI, EMFF, EAFRD, FEAD	x	
	Annual review meeting	Annual Review Meeting Commision Documents - CPR article 51	ERDF, CF, ESF, YEI, EMFF, EAFRD, FEAD	x	
	Ex-ante conditionality suspension	Pre-suspension letter Suspension letter	ERDF, CF, ESF, YEI, EMFF, EAFRD	x	
	Performance review	Performance review letters Performance review decisions	ERDF, CF, ESF, YEI, EMFF, EAFRD, FEAD, IPAD, IPAE	x	x
Execution	Recovery Order	- Debit Note - Credit Note	EAFRD	x	
	De-commitment N+3	- Decommitment warning letter - Decommitment letter - Final decommitment letter - Decommitment other Commission document	ERDF, CF, ESF, YEI, EMFF, IPAE, FEAD, EAFRD	x	
	(Pre-)suspension	- Commission follow-up letter - Lifting letter - Pre-suspension letter	ERDF, CF, ESF, YEI, EMFF, IPAE, FEAD	x	x
Audit	Audit strategy	Audit Strategy Request - CPR article 127.4	ERDF, CF, ESF, YEI, EMFF, FEAD		x
	Audit documents (AMIF, ISF)	- Audit Strategy - Audit Planning - Audit Report	AMIF, ISF	x	x
	National audit report (obsolete)	EC comments on national audit report	ERDF, CF, ESF, YEI, FEAD, EMFF, IPAe		x
	EC audit report	EC audit report correspondence	ERDF, CF, ESF, YEI, FEAD, EMFF, IPAE, EAFRD		x
	Audit Communications (EAFRD, EAGF, IPARD)	- Ongoing conformity audits (Ad-hoc documents) - Continued compliance with the accreditation criteria	EAFRD, IPARD		x
Evaluation	Evaluation plan	Evaluation Plan Request- CPR article 56 and 114	ERDF, CF, ESF, YEI, IPA(e)	x	
	Summary report	Summary Report Request - CPR article 114	ERDF, CF, ESF, YEI	x	
	Evaluation documents	Data from third parties for the ex-post evaluation	AMIF, ISF	x	
Closure	Closure documents	- EC Reminder Letter about the Final implementation report - EC letter to MS on agreement for de-commitment - EC Reminder Letter about EC Observations - Closure letter - Revised Closure letter - Follow up letter about Legality and Regularity - Letter for interrupting the retention period	ESF, YEI, ERDF, CF, EMFF, FEAD, IPAE	x	x
2021-2027		- Technical/outstanding comments on programme - Technical/outstanding comments on partnership agreement - EC observations letter on programme - Remaining/follow-up observations on programme - Remaining/follow-up observations on partnership agreement - Other EC document	ERDF, CF, ESF, EMFF, EAFRD, AMIF, ISF	x	
Utilities	Letters	Letter to Managing Authorities	ERDF, CF, ESF, YEI, EMFF, FEAD, IPA(e), EAFRD	x	
		Letter to Certifying Authorities	ERDF, CF, ESF, YEI, EMFF, FEAD, IPA(e)	x	
		Letter to all Authorities	ERDF, CF, ESF, YEI, EMFF, FEAD, IPA(e)	x	x
		Letter to Audit Authorities	ERDF, CF, ESF, YEI, EMFF, AMIF, ISF, FEAD, IPA(e)	x	x
		Letter to Responsible Authorities	AMIF, ISF	x	

REMARK	Certain documents for EAFRD/IPARD may require encryption and can only be consulted by specific users with the role of **ECAPDR** (EC Audit Personal Data Read). Click here to check these documents.

FUNDS

ERDF, CF	IPA(e)	ESF, YEI, FEAD	EAFRD, IPARD	EMFF	AMIF, ISF

PRE-CONDITIONS

Each Document Type will have its own roles involved in order to be able to create, update and send the Standalone or Referring Documents.

For all Standalone/Referential Documents a user only needs to have **update** access for the specific role in order to update and send the document(s).

The user has the roles and belongs to the Fund allowing him to upload this type of Document.

Updating and deleting is only allowed by the creator of the Document and only when the Document is not yet sent to the Member State.

Member State Documents can be consulted by a Commission user only when sent. Commission Documents can be consulted by a Member State user only when sent.

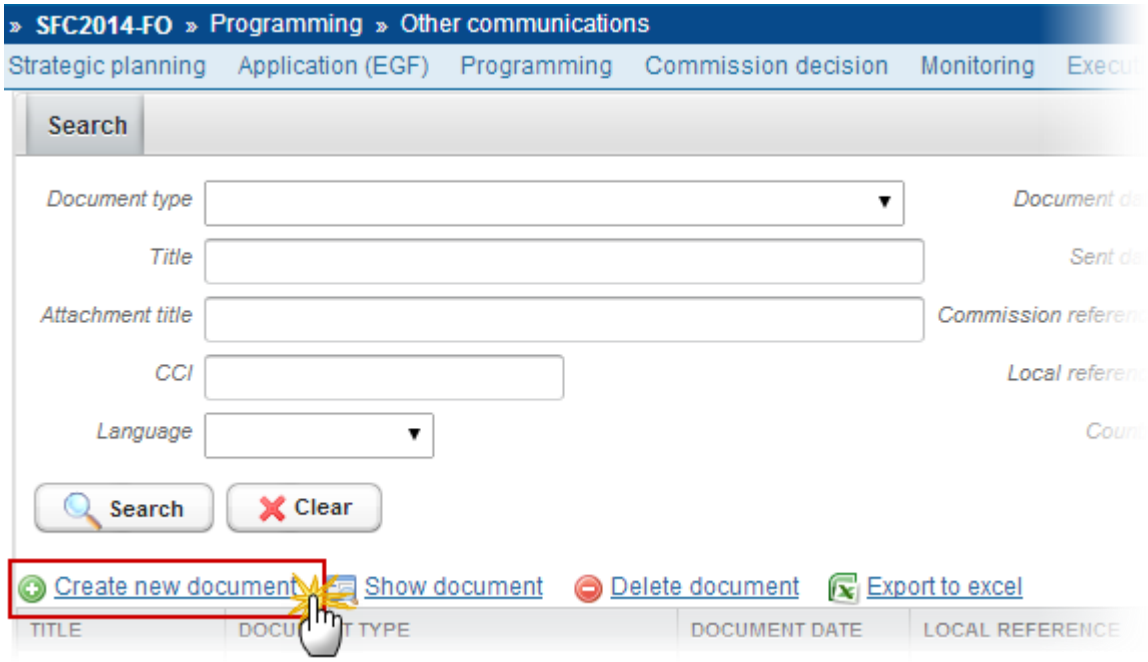
Commission users can consult Commission Documents even before they are sent.

Create a Standalone or Referring Document

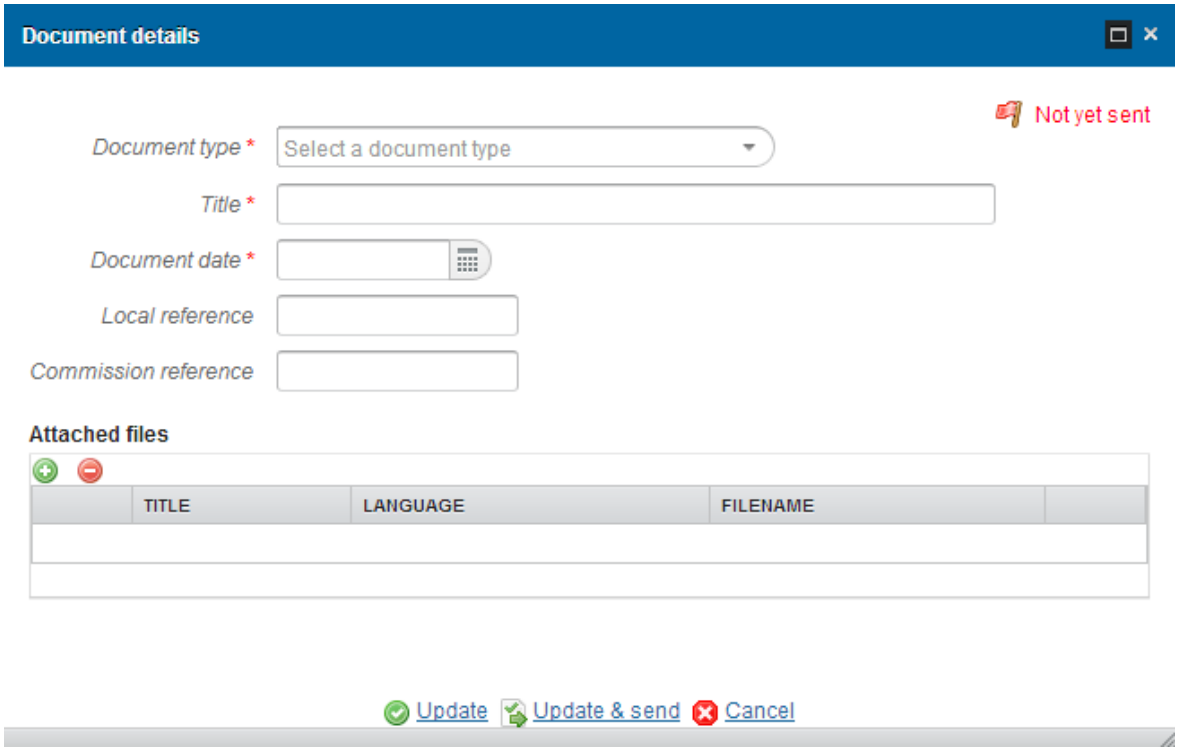
REMARK	The procedure for these document types will be always the same, just the definition of the document type changes. Standalone documents exist by themselves and do not refer to any other object in the system. Referring documents also exist by themselves but refer to a CCI. Both documents never exist under any versioned object in the system, they are independent and therefore never integral. Each Document Type will have its own roles involved in order to be able to create, update and send the Standalone or Referring Documents. For all Standalone/Referential Documents a user only needs to have **update** access for the specific role in order to update and send the document(s). The user has the roles and belongs to the Fund allowing him to upload this type of Document.

	Updating and deleting is only allowed by the creator of the Document and only when the Document is not yet sent to the Member State. The user can at any time save the data and come back later to complete and send the Document.

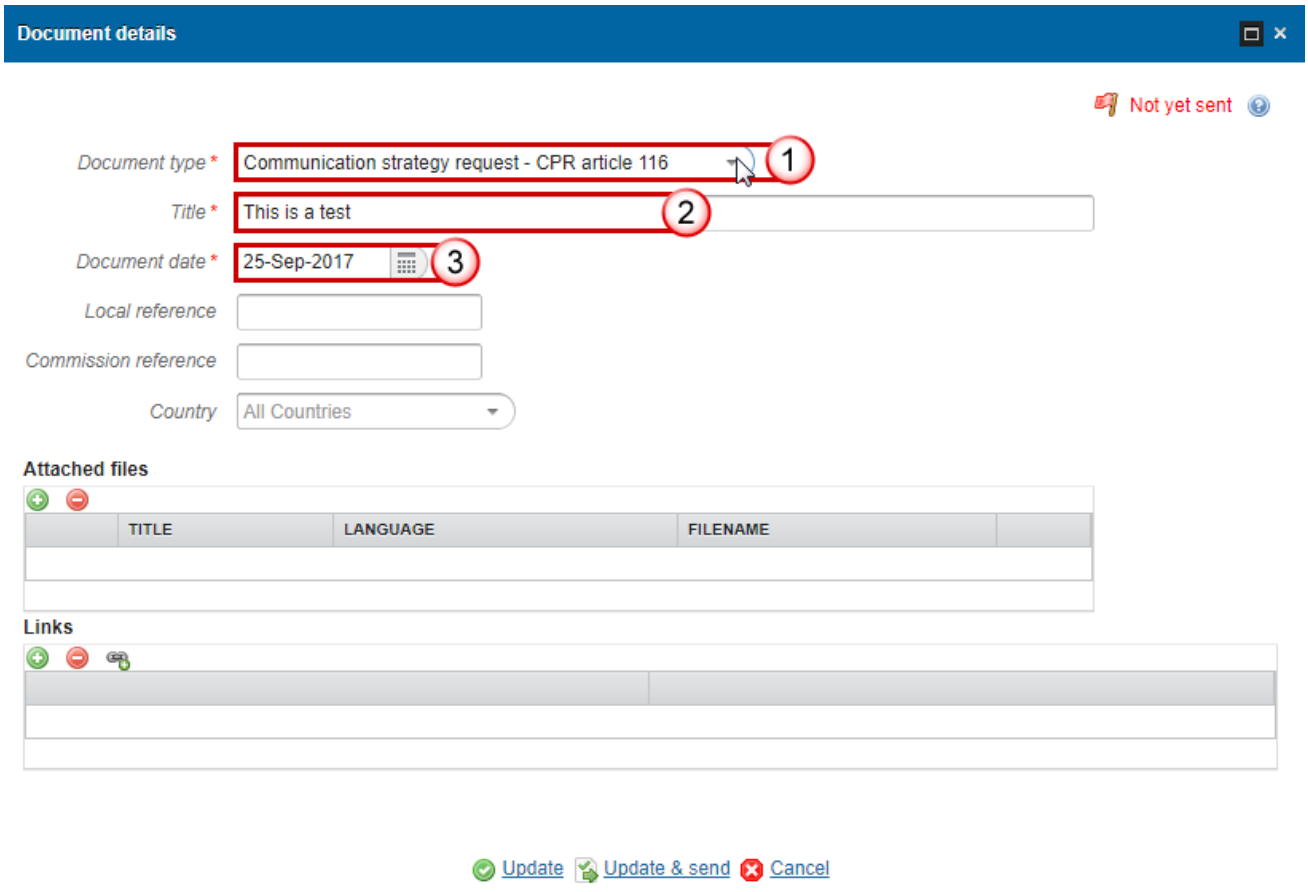
1. Click on the **Create new Document** link in the Search page.



The system displays a form related to document details information:



2. Select the type of the document: Depending on the type, additional fields are added by the system



3. Complete the document information:

(1) Select the *Document type*

(2) Enter the *Title*

(3) Enter the *Document Date*

Commission Reference is only enabled for Commission Users, while *Local Reference* is enabled for both Member State and Commission Users.

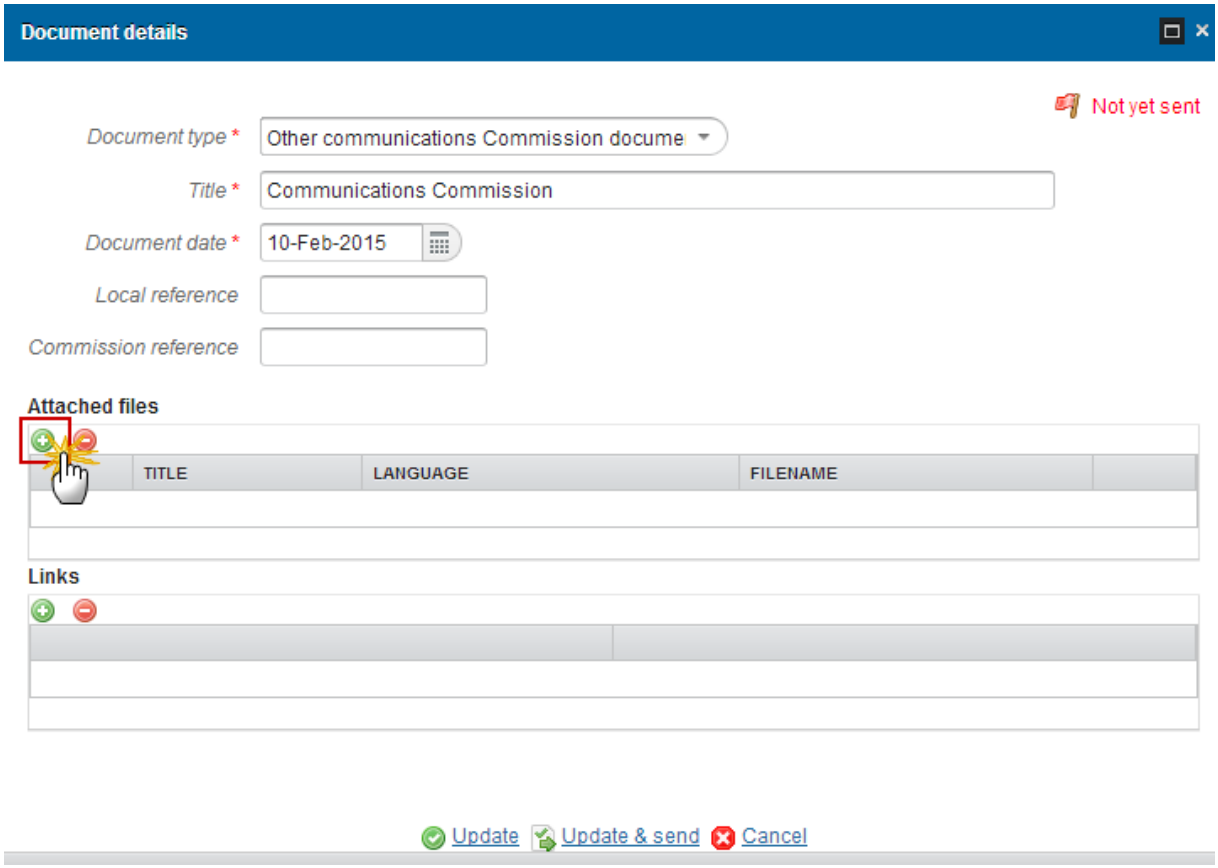
Adding attachments

This can be done in two different ways:

- Uploading files not registered in ARES
- Uploading files using the ARES number (Commission Reference)

Uploading files not registered in ARES

1. Click on the **ADD** button to add a new attached file
   - You can add multiple files by clicking on the **ADD** button
   - You can remove unwanted attachments by selecting the attachment and clicking on the **REMOVE** button



The attached files detail appears editable:

2. Enter or select the following information:

(1) Enter a *Title* for your attachment

(2) Select the *Language* of the document

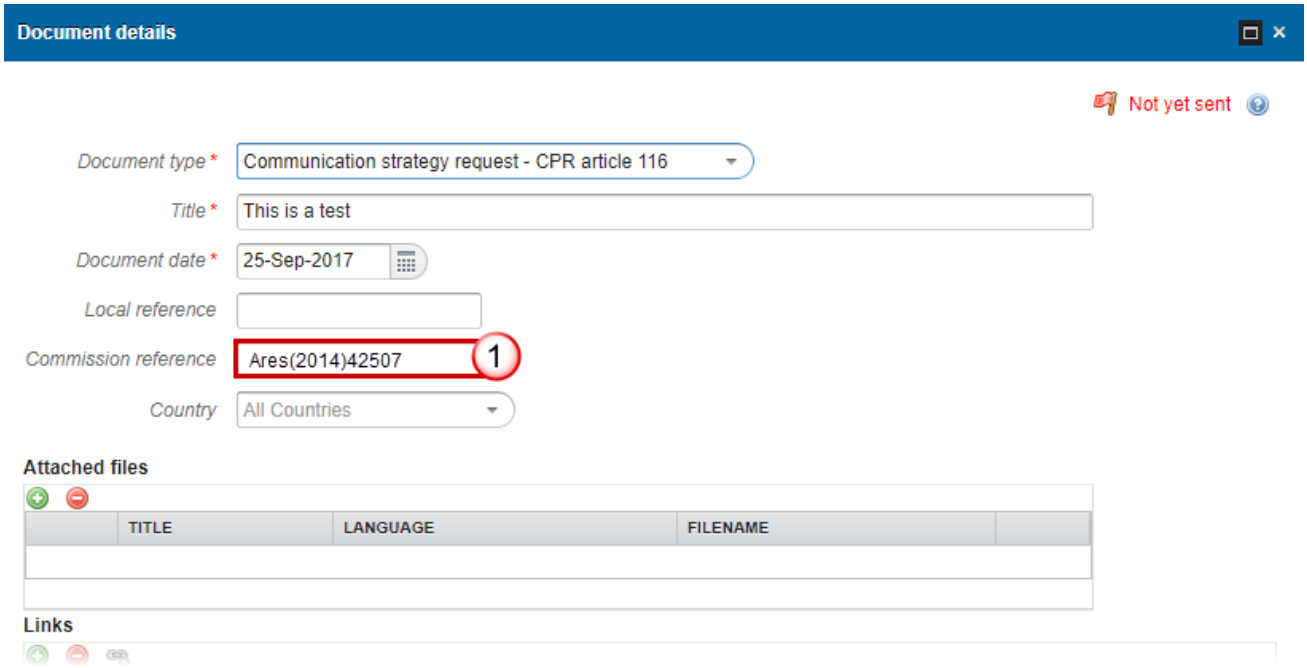
(3) Select the *file* to upload

The system notifies the user that errors where found during the upload or save action.

Uploading files using the ARES number

NOTE	When a Commission user enters or updates an ARES Number in the Commission Reference field, the ARES number will immediately be validated and the attachments will automatically be imported from ARES. If you already uploaded attachments, they will be replaced by the ones from ARES. After the update action you will be able to hide any attachments that you don't want to show to the Member State. If an alert appears: "Invalid ARES number". This means the number cannot be found in ARES. In this case, ensure the ARES number has been entered correctly (without spaces in the following format: eg. Ares(2017)12345), and that the filing in ARES is correct.

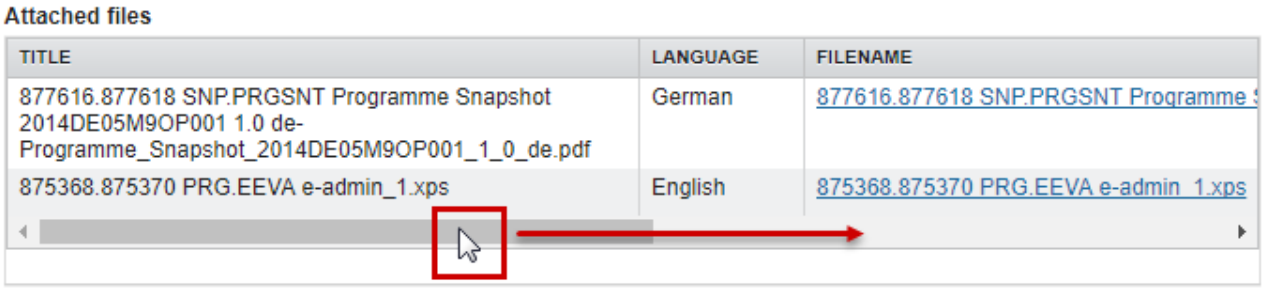
1. In the Documents Details pop-up window enter or update an ARES number in the *Commission Reference* field **(1)**



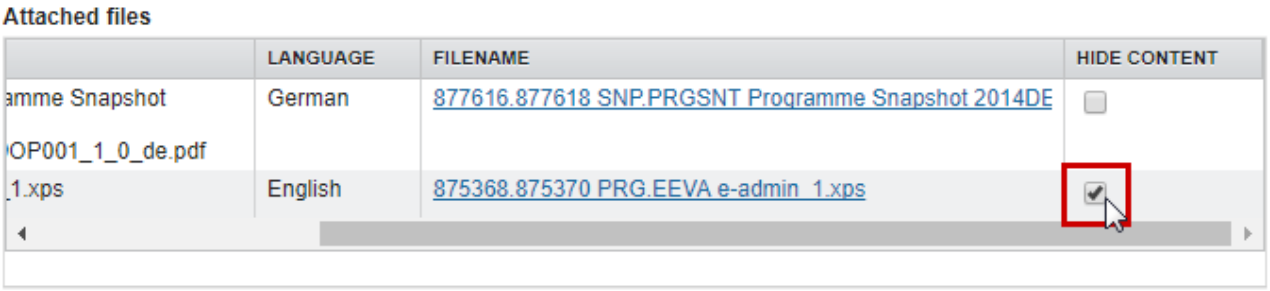
Upon entering the ARES reference and clicking anywhere within the pop-up box, the system imports all attachments with this ARES reference directly from ARES.

You can choose to hide any of the attachments before sending, so they will not be seen by the Member State

2. Use the scroll bar to scroll to the end of the Attached files section:



3. Select the attachments you wish to hide:

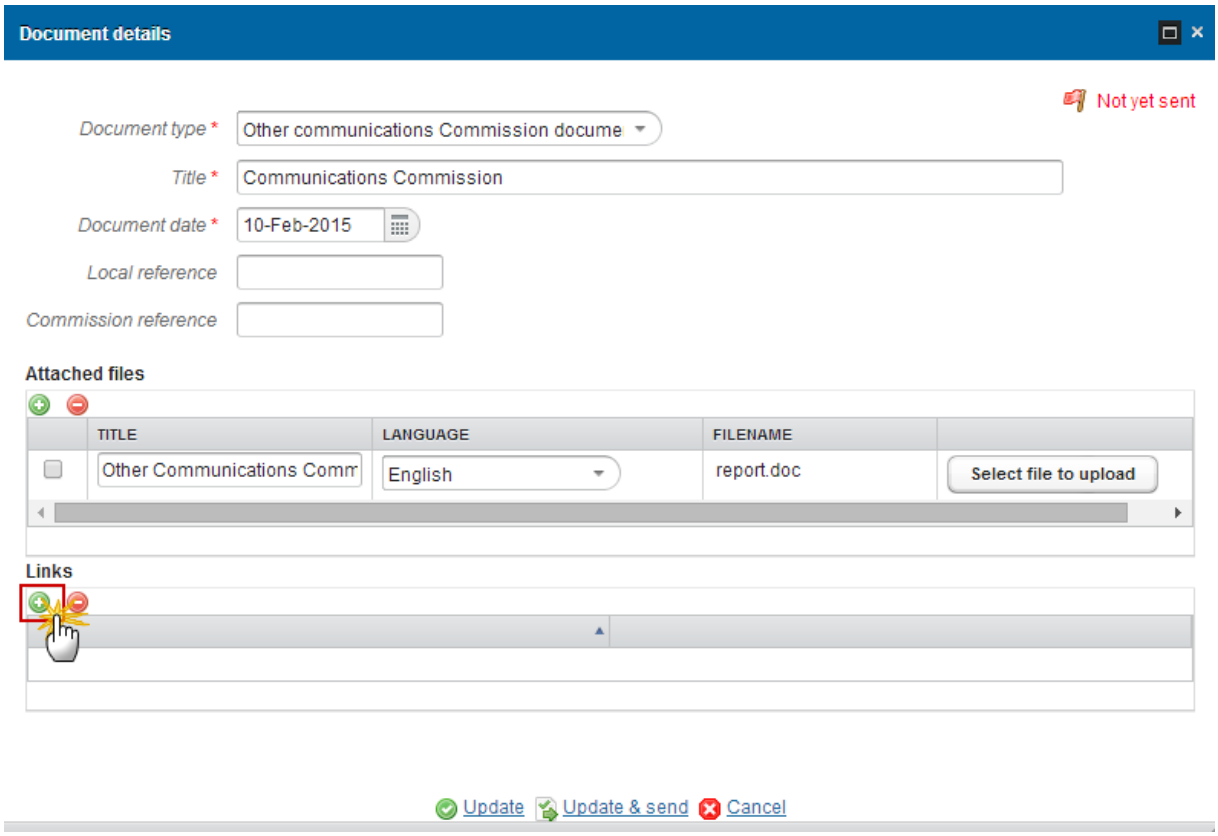


Adding Links for Referring Documents

NOTE	The Links section will not exist for Standalone Documents, only for Referential Documents. Referring documents must be linked to a CCI. Referring document types refer to a specific Object Type in Document Type/Object Type like a Partnership Agreement (PAA), a Programme (PRG), a Major Project (MP), etc. Thus, the content of the CCI List in the Links section depends on the Object Type as defined in Document Type/Object Type. It contains the CCIs of Objects of that Object Type for which the user is allowed to read that Object. The CCI Title comes from the last version of the Object, not from the CCI Request.

1. Click on the **ADD** button to add a new link

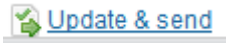
- You can add multiple links by clicking on the **ADD** button
- You can remove unwanted attachments by selecting the attachment and clicking on the **REMOVE** button
- You can add multiple links records by clicking on the **MULTIPLE LINKS** button



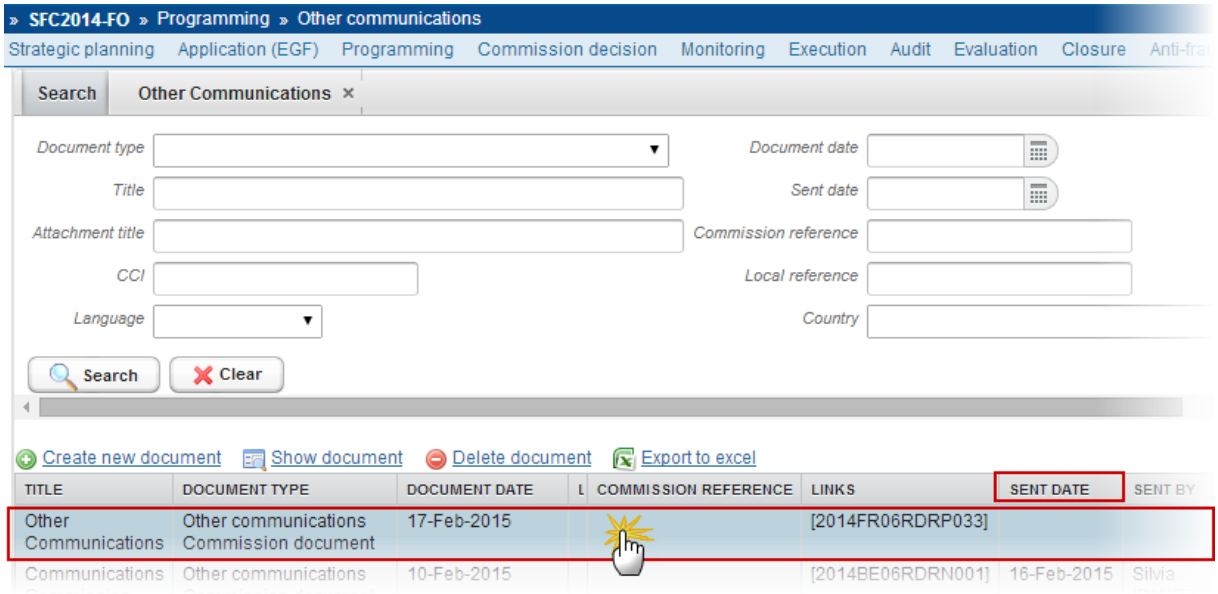
The CCI links list appears:

2. Click on the down arrow in the selection box **(1)** and select a CCI **(2)**

Update an unsent Standalone or Referring Document

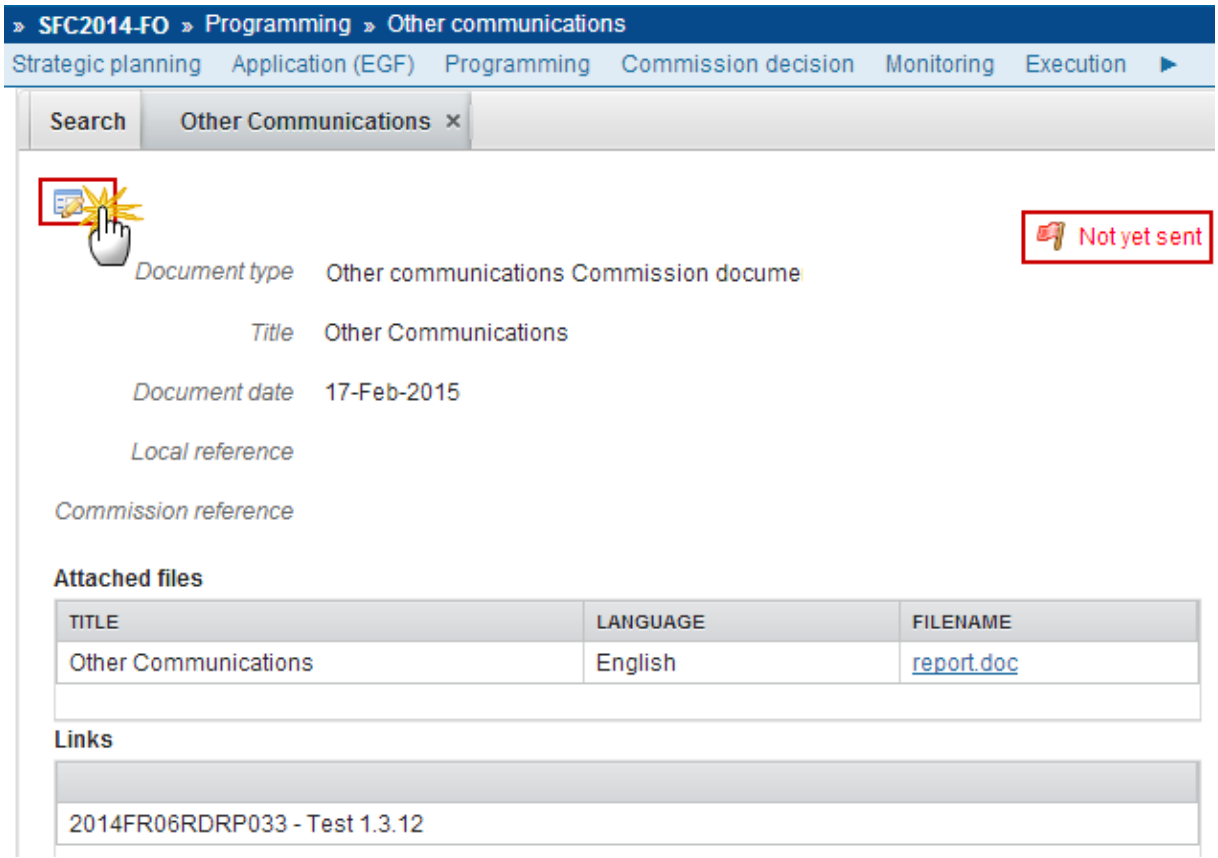
NOTE	The user can at any time save the data and come back later to complete and send the Document. A Standalone or a Referring document **can be modified or deleted as long as it has not been sent**. Clicking the **UPDATE** button in the Documents modal update/edit window updates the data and closes the window to return to display mode. The **UPDATE & SEND** button  will only be shown when at least one attachment was added and for referring Document Types when at least one link was added. Clicking **Update & Send** will update the data, set the Document as being sent and closes the window. Selected Document Types having a Template defined will show a Link to this Template next to the Document Type List.

1. To send a Standalone/Referential document that is not yet sent, select the document row in the list:

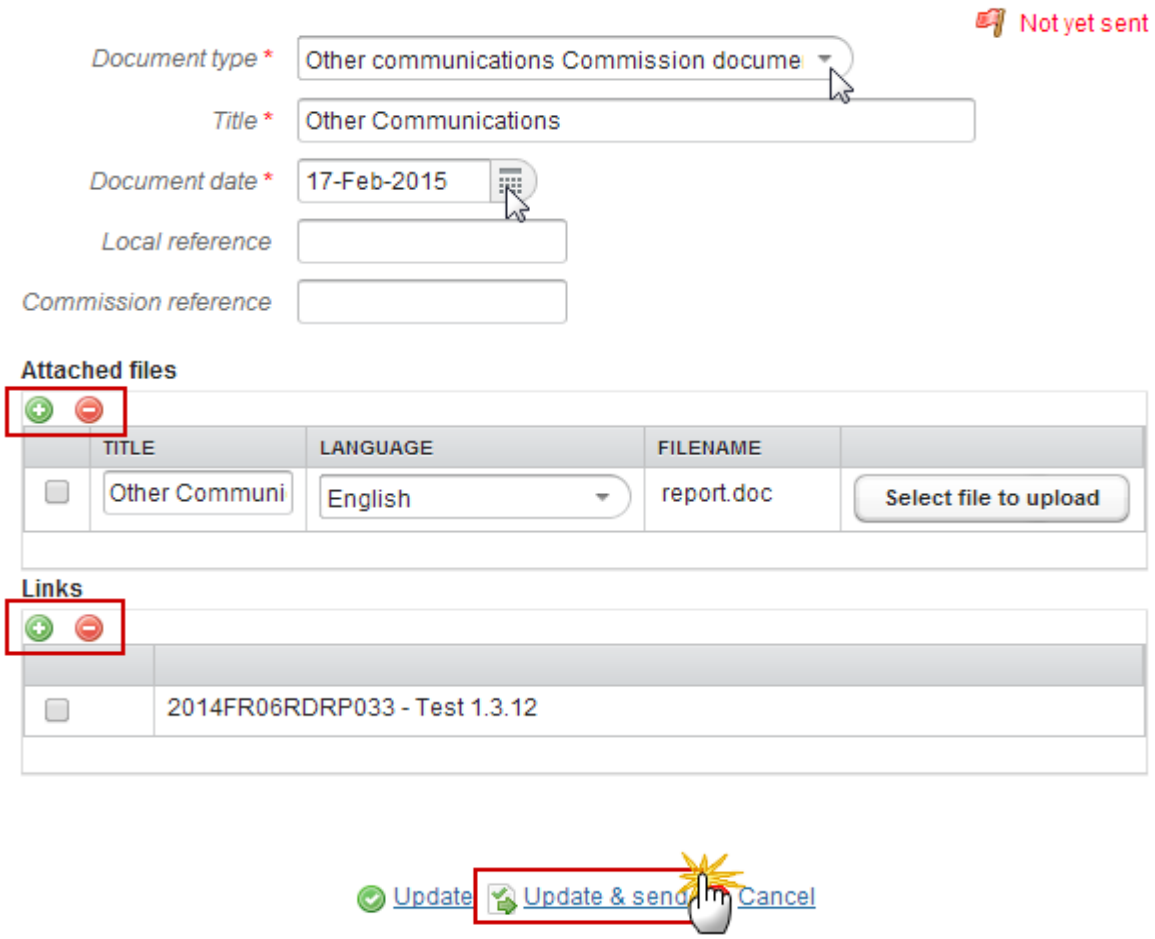


NOTE	A Standalone or a Referring document is only sent when the Sent Date is visible.

2. Click on the **EDIT** button to modify and send the document



The Document Detail pop-up window appears:

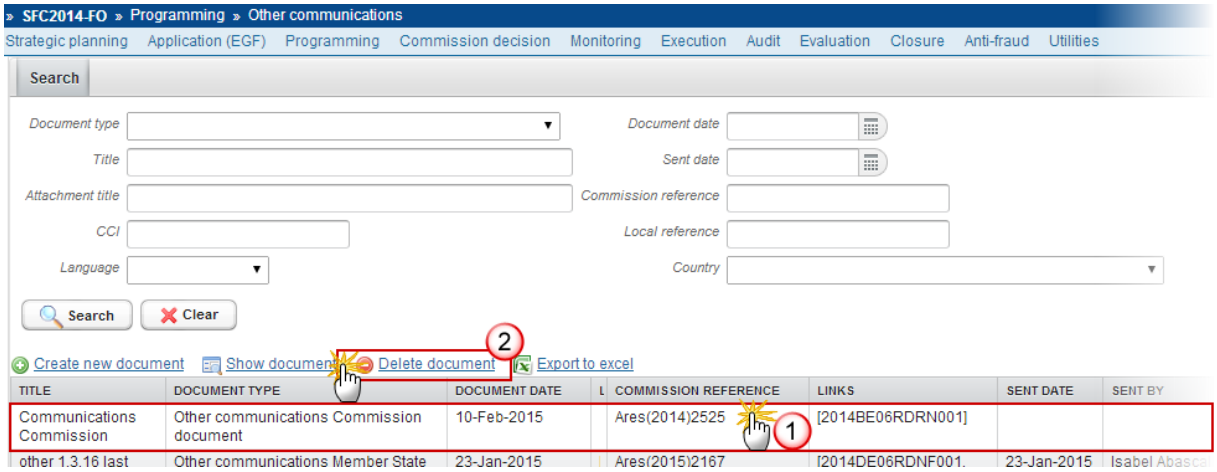


3. If necessary, modify the Standalone/Referential document; you can add more files or links, or delete unwanted files.
4. Click on the **Update & Send** button in order to send the document.

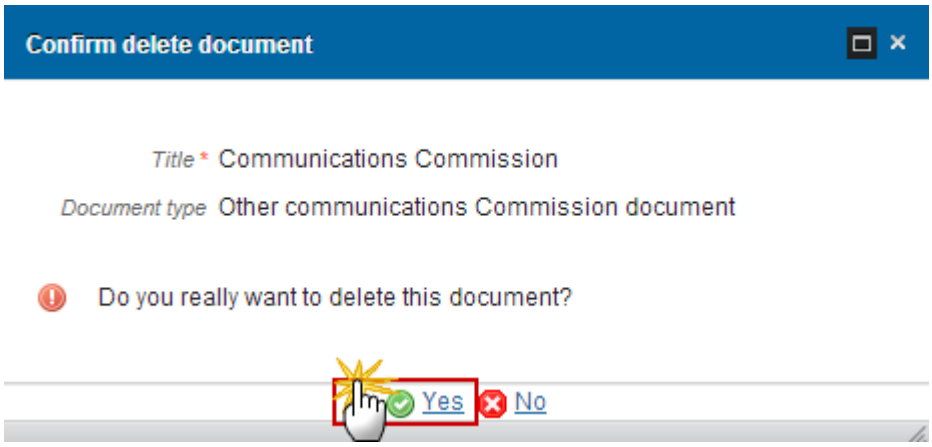
Delete an unsent Standalone or Referring Document

REMARK	A Standalone or a Referring Document **can be deleted** when has **never been sent** to the Commission before.

1. Select the Standalone or Referring document you want to delete **(1)** and click on the **Delete Document** link **(2)** to delete the Standalone or the Referring Document.



The system will ask you to confirm the delete action:

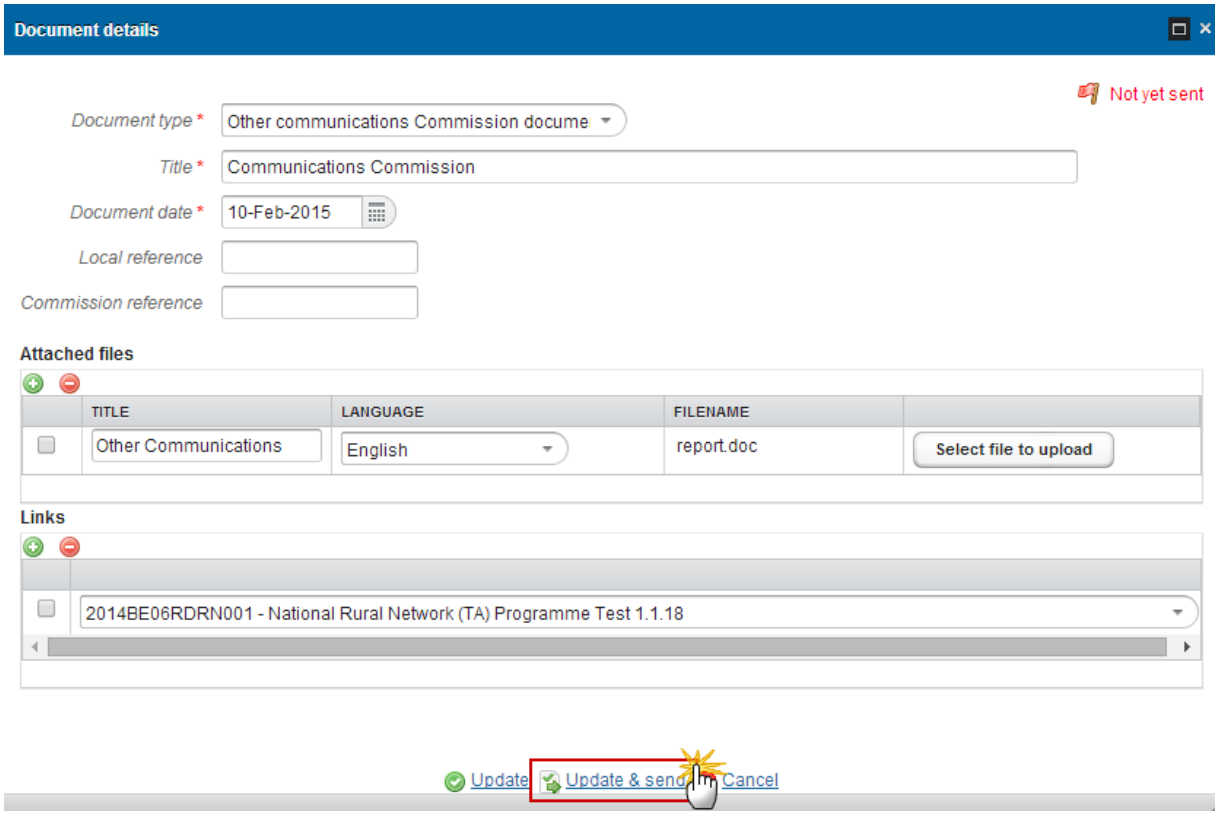


2. Click on Yes to confirm or click on No to cancel the delete action.

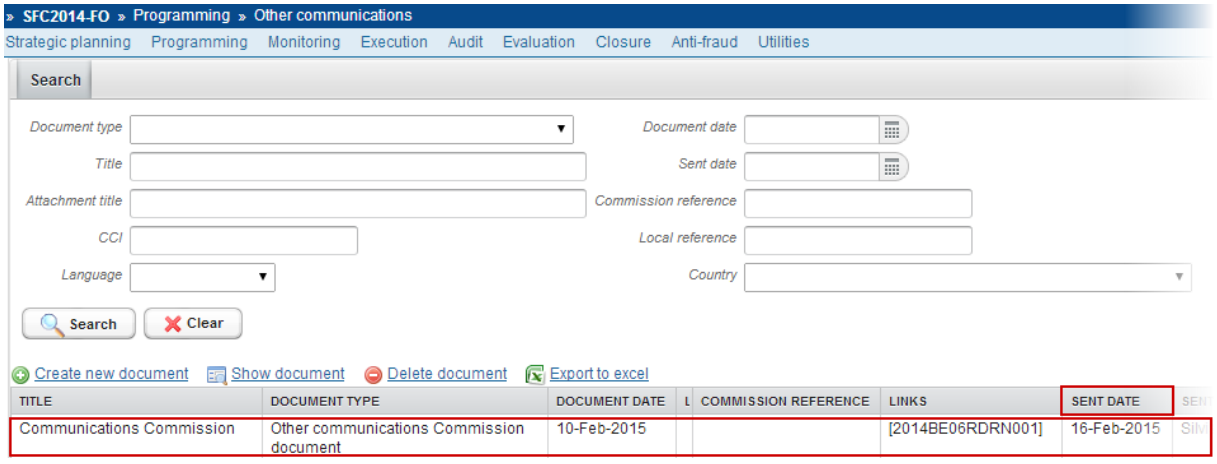
Send a Standalone or a Referring Document

REMARK	The Update & Send button will only be shown when at least one attachment was added and for referring Document Types when at least one link was added. A Standalone or a Referring document is only sent when the Sent Date is visible.

1. Click on the Update & Send button in order to send the document



The system saves the data and the Sent Date for the document:



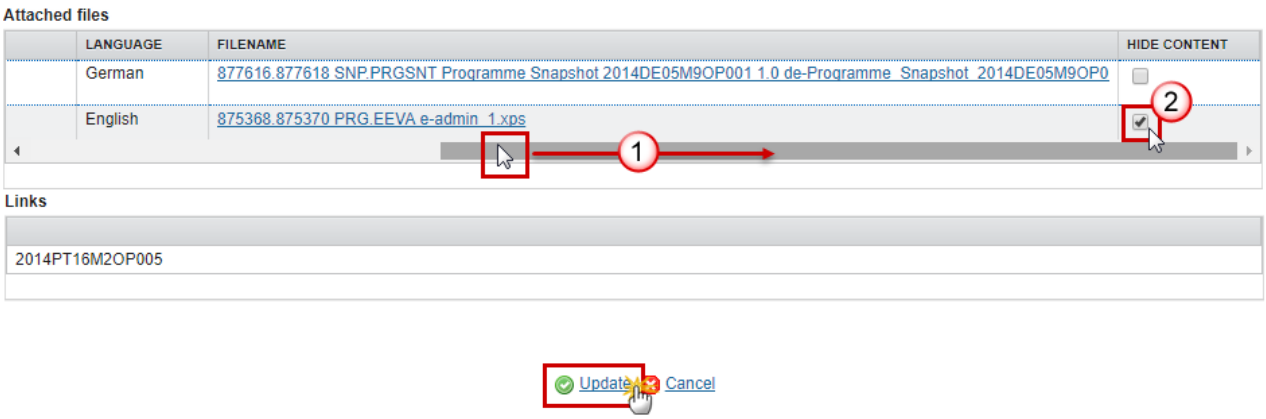
Hiding the Attachment(s) of a Sent or Unsent Document

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

	Unsent Documents can also be hidden, so that the receiver will not be able to view them. This is needed for Commission Documents imported from ARES. Only the creator can hide an attachment of an unsent Document. Links in Referring Documents cannot be deleted or hidden once the document has been sent.

1. Click on the **EDIT** button to access the 'hide content' information:

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

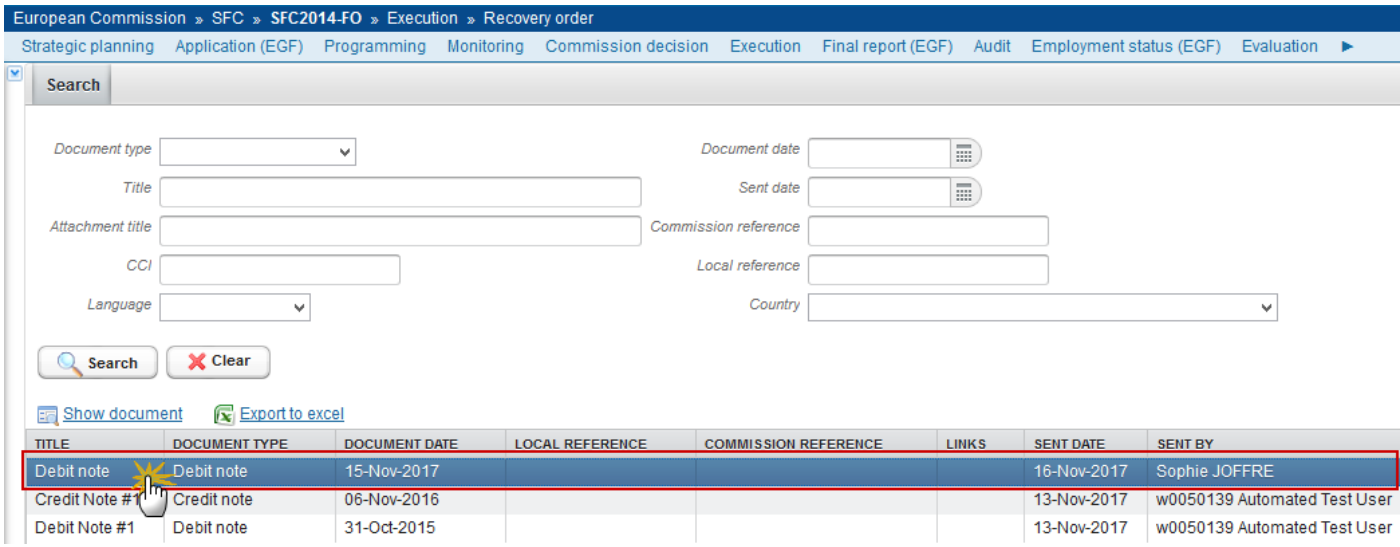


Acknowledge Reception of a Document

Certain standalone/referring document types require the acknowledgement of receipt once they have been sent.

REMARK	The user has the roles has the roles and belongs to the Fund allowing him to acknowledge the reception of this type of Document. The reception of the Document is not yet acknowledged. Each Document Type requiring acknowledgement of receipt, will have its own set of Actors allowed to perform this action.

1. Go to the sent standalone/referring document for which an acknowledgement of receipt is required:



2. The system displays that the Reception is not yet acknowledged **(1)**. Click on the **Acknowledge reception** link to acknowledge the receipt of this document **(2)**:

The system displays the user who sent the document, and the user who acknowledged receipt of the document, and the corresponding dates:

The reception of the following document types will need to be acknowledged before read:

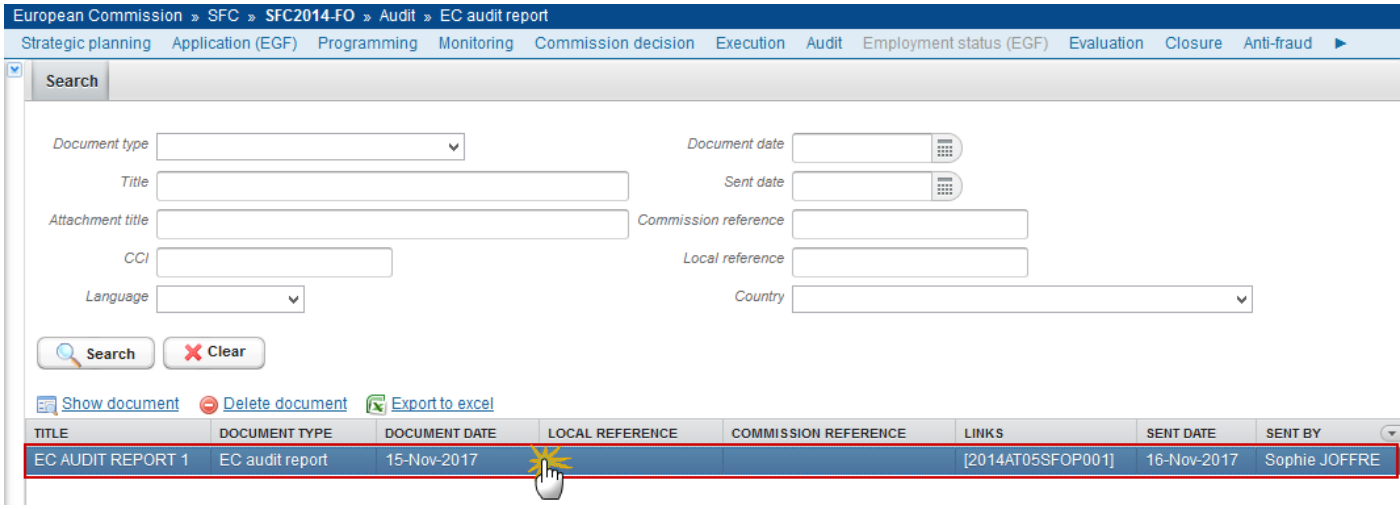
Description	Internal Code	Acknowledged by
EC audit report correspondence	EAR.EAR	MS Audit Authority MS Managing Authority MS Certifying Authority

Reply to a Received Document

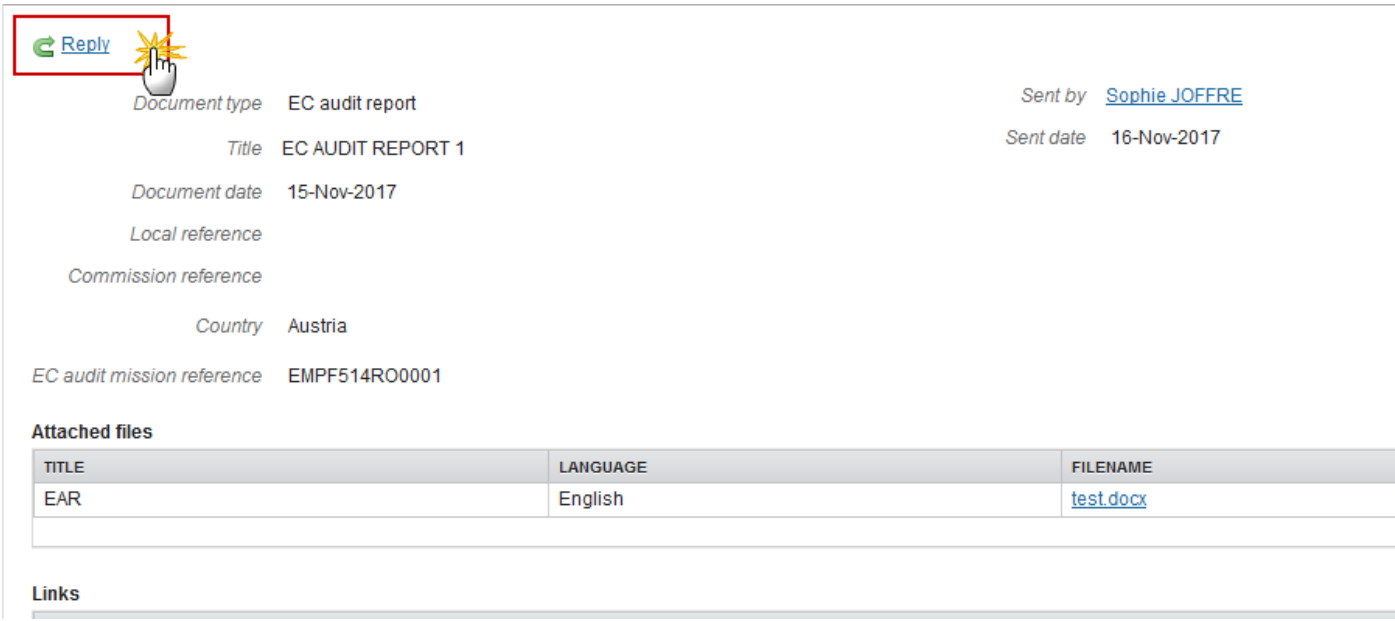
Certain standalone/referring document types allow for a reply to a received document.

REMARK	The user must be an identified user in the Commission (EC Operational Agent, EC Audit Agent or EC Publishing Officer). Each Document Type requiring acknowledgement of receipt, will have its own set of Actors allowed to perform this action.

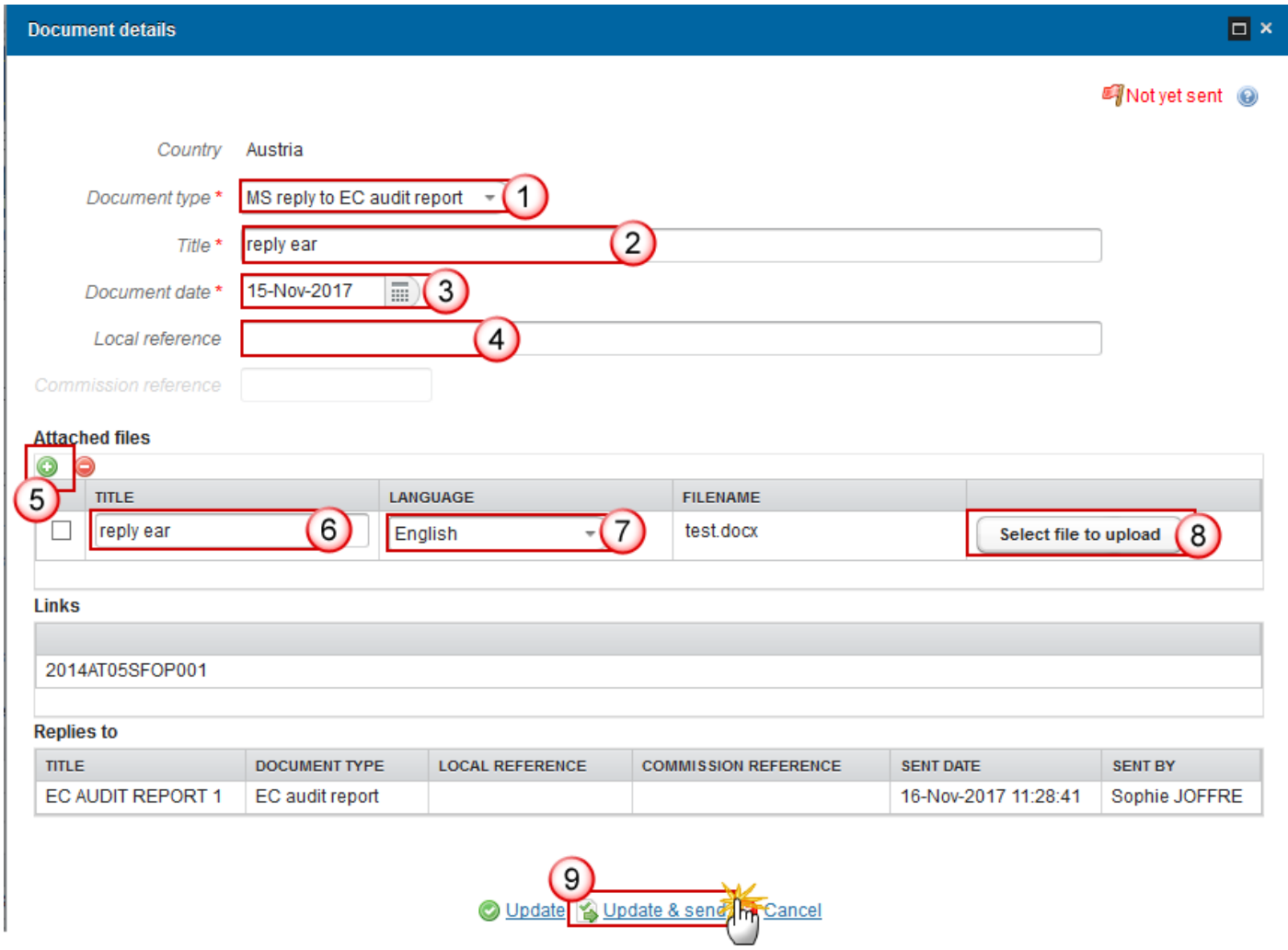
1. Go to the sent standalone/referring document for which you wish to send a reply:



2. Click on the **Reply** link to reply to this document:



The Document details popup window appears:



3. Complete the document information:

(1) Select the *Document type*

(2) Enter the *Title*

(3) Enter the *Document Date*

(4) Enter a *Local Reference* (if applicable)

(5) Select the **ADD** button to add an attachment

(6) Enter a *Title* for your attachment

(7) Select the *Language* of the document

(8) Select the *file* to upload

(9) Click on **Update & send** to send the reply

The following document types will reply to:

Description	Reply To	Internal Code
MS reply to EC audit report correspondence	EC audit report correspondence	EAR.EAR
MS reply to Commission follow-up letter	Commission follow-up letter	SUS.FUL
MS reply to pre-suspension letter	Pre-suspension letter	SUS.SUL

Notifications

NOTE	There are no Officials in Charge defined against a Standalone and a Referring document, thus the sent notification is different from other objects in SFC2014.

For Standalone Commission documents, the notification cannot directly be sent to someone in the Member State(s). Therefore, subscription to receive such kind of notification will have to be done via the notification self-registration. MS subscribers will receive a notification for each standalone Commission document sent to their Member State.

For Standalone Member State documents, the notification cannot directly be sent to someone at the Commission. Therefore, subscription to receive such kind of notification will have to be done via the notification self-registration. EC subscribers will receive a notification for each standalone Member State document sent, possibly filtered by Member State.

For Referring Commission documents, the notification will directly be sent to the Member State Officials in Charge of the objet(s) linked to the document. Additionally, via the self-registration, MS subscribers will receive a notification for each referring Commission document sent, filtered by Member State and possibly by Fund and/or Budget Source and/or Object Type.

For Referring Member State documents, the notification will directly be sent to the Commission Officials in Charge of the objet(s) linked to the document. Additionally, via the self-registration, EC subscribers will receive a notification for each referring Member State document sent, possibly filtered by Member State and/or Fund and/or Budget Source and/or Object Type.

Additional Functionality

Encryption

Certain documents may be required to have encryption and can only be consulted by specific users with the role of **ECAPDR** (Personal Data Read).

A special action will be foreseen, allowing to decrypt encrypted file attachments. This action is needed to validate the content of an attachment.

Currently the following roles have been defined for the following document types:

Description	**Internal Code**	**Action = Decrypt Document**
Annex II (Irregularities)	DL.ANX2	ECAPDR - EC Audit Personal Data Read – EAFRD
AD-HOC data	OI.HOC	ECAPDR - EC Audit Personal Data Read – EAFRD
IT report	IT.ITRE	ECAPDR - EC Audit Personal Data Read – EAFRD
Explanatory notes	FBP.EXNO	ECAPDR - EC Audit Personal Data Read – EAFRD
X-Table data	FBP.XTAB	ECAPDR - EC Audit Personal Data Read – EAFRD
Ongoing conformity audits (Ad-hoc documents)	ACO.OCA	ECAPDR - EC Audit Personal Data Read – EAFRD ECAPDR - EC Audit Personal Data Read – IPARD
Cost of control survey	ACO.CCS	ECAPDR - EC Audit Personal Data Read – EAFRD ECAPDR - EC Audit Personal Data Read – IPARD
Continued compliance with the accreditation criteria	ACO.CCC	ECAPDR - EC Audit Personal Data Read – EAFRD ECAPDR - EC Audit Personal Data Read – IPARD

ECAS Sign on Send

Certain documents may require an ECAS signature upon send. Upon clicking on the Update & Send link in the document details screen the user will be redirected to ECAS to enter their SFC2014 username and password before sending is completed.

Validate Content

Certain attachments of specific Document Types may require the system to perform validations on the content of that attachment.

The validation will return a success or failure message and generate one or two files: a user friendly output report with the results of the validation and the output log. These two documents will be displayed as Attachments under the same Document.

The document may only be sent upon successful validation of all uploaded files.

When validation failed because of a wrong content, the user must re-upload the file.

Register Manifest Only

A Document of a Document Type with the 'Manifest Only' attribute set to true will be registered in Ares without its Attachments, but with a system generated Manifest file. The Manifest file is a text file containing the list of the Attachments (Title and Filename).

Manifest only will mainly be used for Document Types containing encrypted data, since actually SFC doesn't register encrypted documents.

Currently the following Document Types have been defined with Manifest Only:

Description	**Internal Code**
Ongoing conformity audits (Ad-hoc documents)	ACO.OCA
Cost of control survey	ACO.CCS
Continued compliance with the accreditation criteria	ACO.CCC