

IMS **User Manual**
Irregularity Management System

Subject	IMS User Manual
Version / State	4.2/ Draft
Release Date	26/10/2015
Document Reference	AFIS-IMS-UserManual.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
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Approved by			

Summary:	Keywords:
<p>IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF).</p> <p>The different modules are now integrated into one clear, harmonised, user friendly system.</p> <p>This manual is meant to describe the features of IMS.</p>	Irregularity Management System (IMS)

Number of pages	Number of lines	Host system	Software
178	4402	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	22/04/2014	Document creation	C, D, I, R	All
0.2	1	02/10/2014	The document was updated to include adjustments to the 'Create a Communication' chapter. Also the other chapters were checked for image placement and typos.	I, R	All
0.3	2	07/10/2014	Review of the structure and content of the document.	R	All
1.0	3	06/11/2014	Final version of the document	R	All
1.1	4	06/01/2015	Update images pages 64, 66, 68 update page 91	D, R	All
2.0	5	08/01/2015	Final version of the document	R	All
2.1	6	09/04/2015	Updated the images in chapter 3. Minor layout improvements (spacing images) in the rest of the document. Added information to the 'Last update only' option in the search chapter (chapter 15.2).	R	All
3.0	7	27/04/2015	Final version of the document	R	All
3.1	8	26/06/2015	Added an explanation about auto log out after being inactive in the system, with a reference to the AFIS portal user manual. Corrected small spelling mistakes in the document.	C, D, I, R	All
4.0	9	14/07/2015	Final version of the document	R	All
4.1	10	01/10/2015	Update the user manual for IMS 5.0	C, D, I, R	All
4.2	11	26/10/2015	added the country officer functions and actions (manage reference data, change ownership, change reporting structure). Improved document layout	C, D, I, R	All

(*) Action: C = Create D = Delete I = Insert R = Replace

Reference Documents

Ref.	Title	Reference	Version	Date
RD1	How to connect to AFIS Portal using Secure Internet connection	<i>How to connect to AFIS Portal using Secure Internet connection.pdf</i>	4.0	12/12/2014
RD2	How to connect to AFIS Portal using CCN	<i>How to connect to AFIS Portal using CCN.pdf</i>	2.0	07/07/2014
RD3	AFIS Portal User Manual	<i>AFIS-APM-UM_EN</i>	3.0	14/07/2015

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Terms Definition

Term	Definition
AFIS Directory Service	Common service responsible for the provision of user information, application information and reference data.
AFIS Framework	A set of services and applications to support the development, operation and use of AFIS business applications. It takes care of security, user application data, users' organisation structure, application configuration and reference data. It also offers a common look and feel to all applications (APF) and a portal homepage presenting all applications a user can access (APM).
Application	The software component identified by the AFIS Framework as a deployable, security unit. Realises specific needs within OLAF overall business scope.
Attachment	A file that may become part of a request.
Case	A case represents a record of an irregularity, resulting from the management of one or more requests. An IMS case presents the latest updates for an irregularity.
Country	The entity holding one or more reporting authorities.
Creator	Is a member of an organisation who creates a request. The creator can be, but is not necessarily the initiation authority. The Initiating authority is always a national organisation, whilst the creator of a request may also be an organisation in the European Commission (for example, the organisation of the OLAF Manager who creates a request to amend an existing case).
Customs Communications Network (CCN)	A set of physical gateways located either in national administrations or at the Commission premises. These gateways are interconnected through their own communication services (TCP/IP network services), and communicate with the application platforms. CCN requires user authentication.
Fraud	Extract from Article 1(1), point (a), of the Convention on the protection of the European Communities' financial interests - Council Act of 26 July 1995 drawing up the Convention on the protection of the European Communities' financial interests – Article 1 – General provisions: <p><i>"[...] fraud affecting the European Communities' financial interests shall consist of:</i></p> <p><i>(a) in respect of expenditure , any intentional act or omission relating to:</i></p> <ul style="list-style-type: none"> <i>- the use or presentation of false, incorrect or incomplete statements or documents, which has as its effect the misappropriation or wrongful retention of funds from the general budget of the European Communities or budgets managed by, or on behalf of, the European Communities,</i> <i>- non-disclosure of information in violation of a specific obligation, with the same effect,</i> <i>- the misapplication of such funds for purposes other than those for which they were originally granted;</i> <p><i>(b) in respect of revenue, any intentional act or omission relating to:</i></p> <ul style="list-style-type: none"> <i>- the use or presentation of false, incorrect or incomplete statements or documents, which has as its effect the illegal diminution of the resources of the general budget of the European Communities or budgets managed by , or on behalf of, the European Communities,</i> <i>- non-disclosure of information in violation of a specific obligation, with the same effect,</i> <i>- misapplication of a legally obtained benefit, with the same effect."</i>
Irregularity	An irregularity represents any infringement of a provision of the European law resulting from an act or omission by an economic operator which has, or would have, the effect of prejudicing the general budget of the European Union (EU), by charging an unjustified item of expenditure to the general budget.

Term	Definition
	<p>Definition extracted from the COMMISSION REGULATION (EC) No 1848/2006 of 14 December 2006 concerning irregularities and the recovery of sums wrongly paid in connection with the financing of the common agricultural policy and the organisation of an information system in this field and repealing Council Regulation (EEC) No 595/91 – <u>Article 2 – Definitions</u>:</p> <p><i>" 'irregularity' has the meaning assigned to it by Article 1(2) of Regulation (EC, Euratom) No 2988/95, that is any infringement of a provision of Community law resulting from an act or omission by an economic operator which has, or would have, the effect of prejudicing the general budget of the Communities either by reducing or losing revenue accruing from own resources collected directly on behalf of the Communities, or by charging an unjustified item of expenditure to the Community budget."</i></p>
Organisation	An organisation is a service responsible for reporting or updating an irregularity case. Organisations are subject to a hierarchical structure. They can be national (in the member states or the candidate countries) or part of the European Commission.
Pending Request	<p>Any request that is sent from an Organisation to be approved by another Organisation (including OLAF) is considered as being "pending". The request shall no longer be pending when its status becomes "Sent to OLAF".</p> <p>Requests in the states Draft, Finalised and Rejected are not considered to be pending.</p>
Regulation	<p>Regulations are normative acts defined by Article 288 of the 'Treaty on the Functioning of the European Union (TFEU)'. They have general application, are binding in their entirety and directly applicable in all member states. The constitutional treaty calls acts similar to community regulations 'European laws'. It formally recognises the normative hierarchy between basic regulations and implementing regulations by distinguishing between European laws and 'delegated regulations'.</p> <p>In the context of IMS, a regulation represents the legal document according to which an irregularity case is reported.</p>
Request	<p>A request represents the means to report an irregularity case. There are several types of requests:</p> <ul style="list-style-type: none"> • Initial request (create a case) • Request to update a case • Zero Notification (confirm that there is no irregularity to report) • Request to cancel a case • Request to close a case • Initial request – closed case (create a case that is already closed) • Request to reopen a case • Request to amend a case • Request to anonymise a case <p>Each type of request is subject to a workflow. Depending on the type of request, the steps of the workflow may be different.</p>
Reporting Authority	<p>In the terms of the IMS application, national organisations are also called reporting authorities.</p> <p>There are 3 types of reporting authorities:</p> <ul style="list-style-type: none"> • Initiating authority: The organisation at the national level that initiates a case. • Intermediate reporting authority: The organisation at the national level that receives incoming requests to approve and send them to the next organisation on the reporting path. • Level 1 reporting authority: The organisation at the national level that receives incoming requests to approve and send directly to OLAF.
Reporting Path	The order in which different organisations are expected to approve a request before its content is applied to a case.

Term	Definition
	Only Organisations having the same Competences may be on the same Reporting path.
Reporting Structure	<p>An organisation may be on one or more reporting paths, depending on their competences.</p> <p>The collection of reporting paths of an organisation 'makes' the reporting structure of that organisation.</p> <p>From the point of view of the user managing the reporting structure, the latter may be seen as the collection of all the reporting paths that are being managed.</p>
Suspected Fraud	<p>Definition extracted from the Commission Regulation (EC) No 1848/2006 of 14 December 2006 concerning irregularities and the recovery of sums wrongly paid in connection with the financing of the common agricultural policy and the organisation of an information system in this field and repealing Council Regulation (EEC) No 595/91 – Article 2 – Definitions:</p> <p><i>" 'Suspected fraud' means an irregularity giving rise to the initiation of administrative and/or judicial proceedings at national level in order to establish the presence of intentional behaviour, in particular fraud, such as is referred to in Article 1(1), point (a), of the Convention on the protection of the European Communities' financial interests."</i></p>
User	<p>Entities attached to organisations that have different roles and rights.</p> <p>User roles existing before IMS 5 shall be automatically transferred and mapped according to the 'IMS4 - IMS5 - URT User Roles Mapping' document (RD6).</p>
Zero notification	The form used to report the absence of an irregularity case.

Abbreviations and Acronyms

Abbreviation/ Acronym	Description
AFIS	Anti-Fraud Information System
AFW	AFIS Framework
ALIB	AFIS Library
APF	AFIS Presentation Framework (AFIS Framework)
APM	AFIS Presentation Manager (AFIS Framework)
CCI	Code Commun d'Identification
CCN	Customs Communication Network
CIRCABC	CIRCABC is a collaborative platform, which offers an easy distribution and management of documents.
CO	Country Officer
EC	European Commission
EU	European Union
ID	Identification
IE	Internet Explorer
IMS	Irregularity Management System
IPA	Instrument for Pre-Accession Assistance
LO	Liaison Officer
MS	Member State
NUTS	Nomenclature of Territorial Units for Statistics
OLAF	European Anti-Fraud Office (Office Européen de Lutte Anti-Fraude)
PAA	Pre-Accession Assistance
PACA	PACA (P remier A cte de C onstat A ministratif) is the first written assessment of a competent authority, either administrative or judicial which concludes that an irregularity has been committed. This conclusion is based on actual facts and is not influenced by the possibility that this conclusion may subsequently have to be adjusted or withdrawn, as a result of developments in the course of the administrative or judicial procedure.
RA	Reporting Authority
RD	Reference Document
XLS	Microsoft Excel file format
XML	Extensible Mark-up Language
URT	User Registration Tool

About this Manual

This manual is meant as an orientation tool for all the users of IMS. It gathers information users should be familiar with in order to be able to exploit the application.

The overall description of the features of IMS, of the way in which users are organised, as well as of the procedures, sequences of steps and tasks implied, intend to improve the ease and efficiency of working with the application.

In its larger part, the document contains minute presentations of the functionalities, commands, fields, as well as the way in which users should work with irregularity cases and requests.

In order to make the best use of this manual, please note the following conventions:



Indicates warnings, preconditions or instructions that have to be strictly followed. If you see this icon, make sure to read the information written next to it.



Indicates a very important message. Something that should not be overlooked.



Sections or areas on pages are identified by a number in a circle.



Fields on screen, options and buttons are shown in frames or braces. Specific details of the application interface are highlighted with an arrow and sometimes explained in a rectangle.



Text

1. How to Access IMS

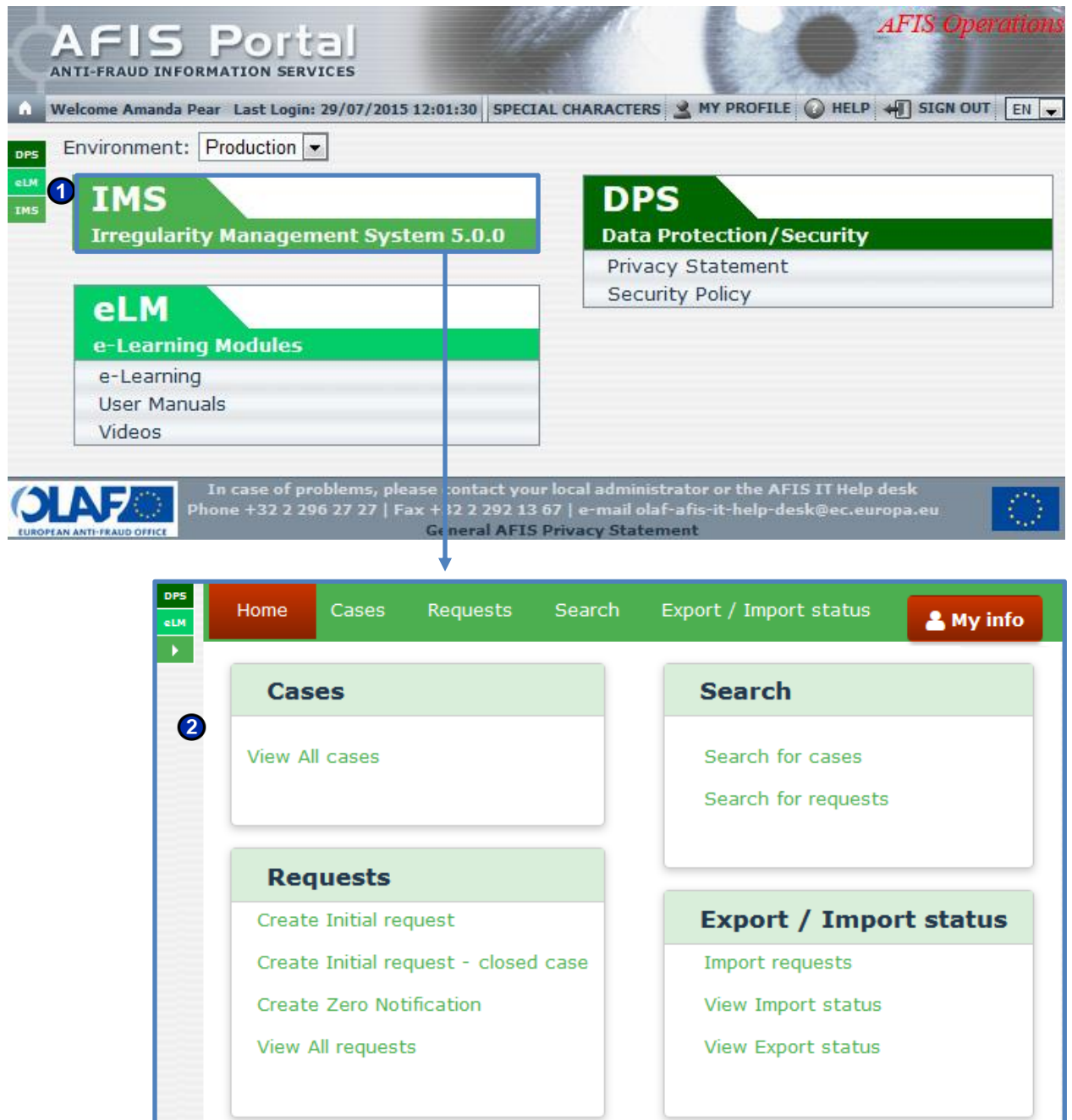


Figure 1: IMS on AFIS Portal: homepage for user with creator rights

IMS is a Web-based application accessible through the AFIS Portal. For more information about accessing the AFIS Portal see the 'How to connect to AFIS Portal' (RD1 and RD2) documents.

1.1 IMS on AFIS Portal

The screen that is displayed after logging in is user specific and depends on your role. However, all AFIS homepages have common features.

The '**AFIS Portal User Manual**' (RD3) describes all the constant elements that compose the AFIS portal homepage.

→ From the AFIS portal homepage (1), you can access the IMS homepage (2), by clicking the application tab.



Please note that if you remain inactive for a set period of time, you will **automatically be logged out** of the AFIS portal. You will need to log in again to resume your work. It is very important that you save any work that you do in IMS (such as creating requests) regularly. In this way you ensure that you will not lose your work if you are automatically logged out.

For more information on automatic log-out, please see the AFIS Portal User Manual (RD3).

For more information about saving your work, see chapter 11 Drafts.

1.2 IMS Homepage

The IMS homepage consists of several sections that will be explained below.

1.2.1 Quick Links

Several quick links are available on the homepage, they enable you to directly access the most common features in IMS.



The available quick links depend on your user rights. In the example on the page on the left, the homepage for the IMS creator is displayed.

1.2.2 Tabs and Pages

You can access the different sections of IMS via the tabs on the homepage.

- **Home:** return to the IMS homepage from anywhere in the application.
- **Requests:** view requests and create new ones.
- **Cases:** view, cancel, close or update cases
- **Search:** search for requests or cases
- **Export/Import Status:** export cases, import requests, view the status of imported or exported files.

1.2.3 My Info

Here you can find information about your user profile, the organisation you belong to and the competences of your organisation.

1.3 Actions Menu

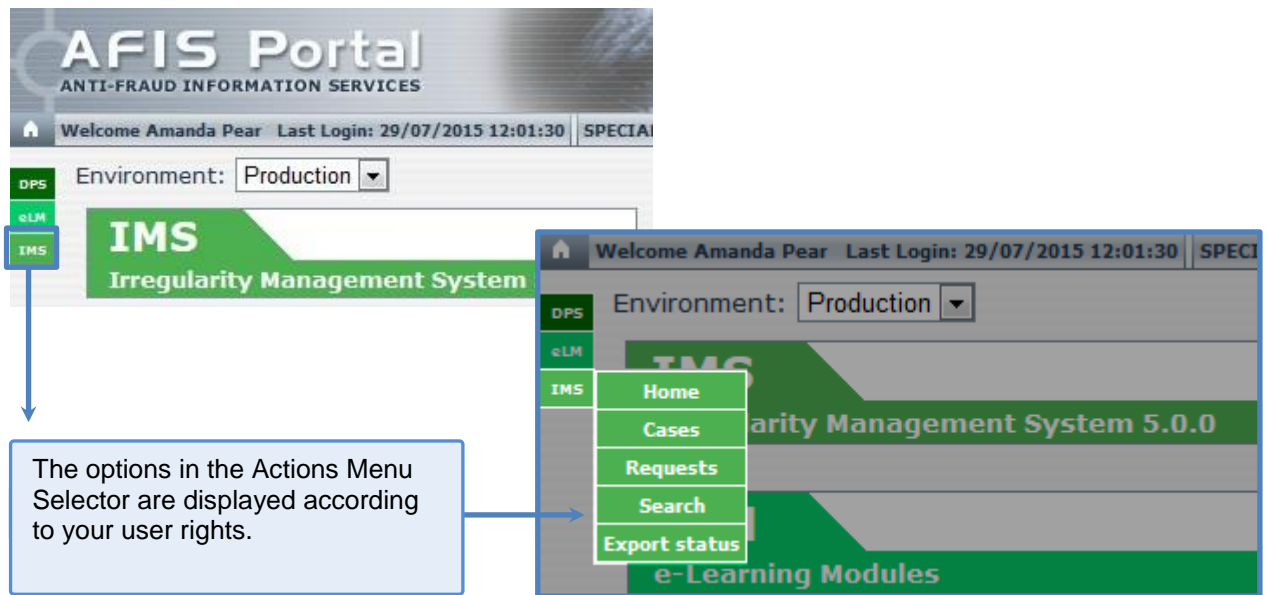



Figure 2: IMS on AFIS Portal: actions menu

The **Actions Menu** is available from anywhere in the IMS application. Roll your mouse over the white arrow available on the left of the screen.

This menu contains a set of links. They lead to the 'Requests', 'Cases', 'Search', 'Export/Import status' and 'Homepage' pages.

The 'Home' icon() takes you to the Portal homepage, regardless of where you are in the application.

2. About Users and User Roles

There are several types of users that have different user rights and roles in IMS.

The following types of users exist in IMS:

Actor	Description
Creator	User in a reporting authority who creates requests and makes them available to the manager to send them to the next authority on the reporting path.
Manager	User in a reporting authority who performs quality checks on requests and eventually sends them to the next authority on the reporting path. This user also has the right to create requests.
Observer	User in a reporting authority who has the right to consult the IMS information (requests and cases).
OLAF Manager	A user in OLAF, acting on behalf of the European Commission, who studies the irregularities reported by the reporting authorities.
Commission Observer	A user in the EC who may view the reported irregularities.
Country Officer	User in the Level 1 Reporting Authority of a country who can manage the Reporting Structure of the respective country. The Country Officer includes also the role of Manager.
Commission Officer	A user in the EC who may perform certain actions on the irregularity cases reported by the countries.
Administrator	OLAF personnel who administers and maintains IMS.
System (agent)	A system user in charge of performing certain actions regarding the IMS data.

Table 1: IMS user roles

1.1.1 User Roles and Rights

Depending on the role they have, the IMS users may have the following rights:

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Save request as draft	x	x	x						
Finalise request	x	x	x						
Send request		x	x		x	x			
Import request as draft	x	x	x						
Import request as finalised	x	x	x						
Import request as sent		x	x					x	
Import dry-run	x	x	x					x	
Import with warnings	x	x	x					x	
Approve request		x	x		x				
Reject request		x	x		x				
Delete draft request (manual deletion)	x	x	x						
Delete rejected request (manual deletion)						x			
Delete draft request (automatic deletion)									x
Delete rejected request (automatic deletion)									x
Delete anonymised case (automatic deletion)									x
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x	x	
Search for cases	x	x	x	x	x	x	x	x	
List requests	x	x	x	x	x	x	x	x	
View request	x	x	x	x	x	x	x	x	
View request history	x	x	x	x	x	x	x	x	
Print request	x	x	x	x	x	x	x	x	
List cases	x	x	x	x	x	x	x	x	
View case	x	x	x	x	x	x	x	x	
View case history	x	x	x	x	x	x	x	x	

Role	ea	to	an	ag	ry	er	F	M	ss	io	io	n	mi	ni	str	le	m	ac
Export case	x	x	x	x	x	x	x	x	x	x	x	x	x					
Print case	x	x	x	x	x	x	x	x	x	x	x	x	x					
Copy case	x	x	x															
View statistical reports	x	x	x	x	x	x	x	x	x	x	x	x						
Make case expired																	x	
Manage Organisation competence													x					
Manage funds and programming periods													x					
Manage reference data – codelists				x									x					
Manage reference data – translations				x									x					
Manage reference data – Budget lines													x					
Manage reference data – CCI-related data													x					
Manage reference data – NUTS values													x					
View Reporting structure				x									x					
Change Reporting structure				x									x					
Change ownership				x									x					
Send e-mail notifications																	x	
Auditing / Logging / Monitoring																	x	

Table 2: IMS roles and rights

3. About Cases and Requests

3.1 Request types and case structure

IMS enables you to create several types of requests to perform specific actions for a case.

These are the types of the request that are available in IMS. Which request types you can create depends on your user rights.

Type of request	Short form	Who can create			
		Creator	Manager, Country Officer	OLAF Manager	EC Officer
Initial request	Create	x	x		
Request to update a case	Update	x	x		
Zero Notification	Zero Notification	x	x		
Request to cancel a case	Cancel	x	x		
Request to close a case	Close	x	x	x	x
Initial request – closed case	Close	x	x		
Request to reopen a case	Reopen	x	x	x	x
Request to amend a case	Amend			x	
Request to anonymise a case	Anonymise			x	

Table 3: Types of requests per user

3.2 Request Lifecycle

The request lifecycle is as follows.

3.2.1 A Creator or Manager Creates a Request

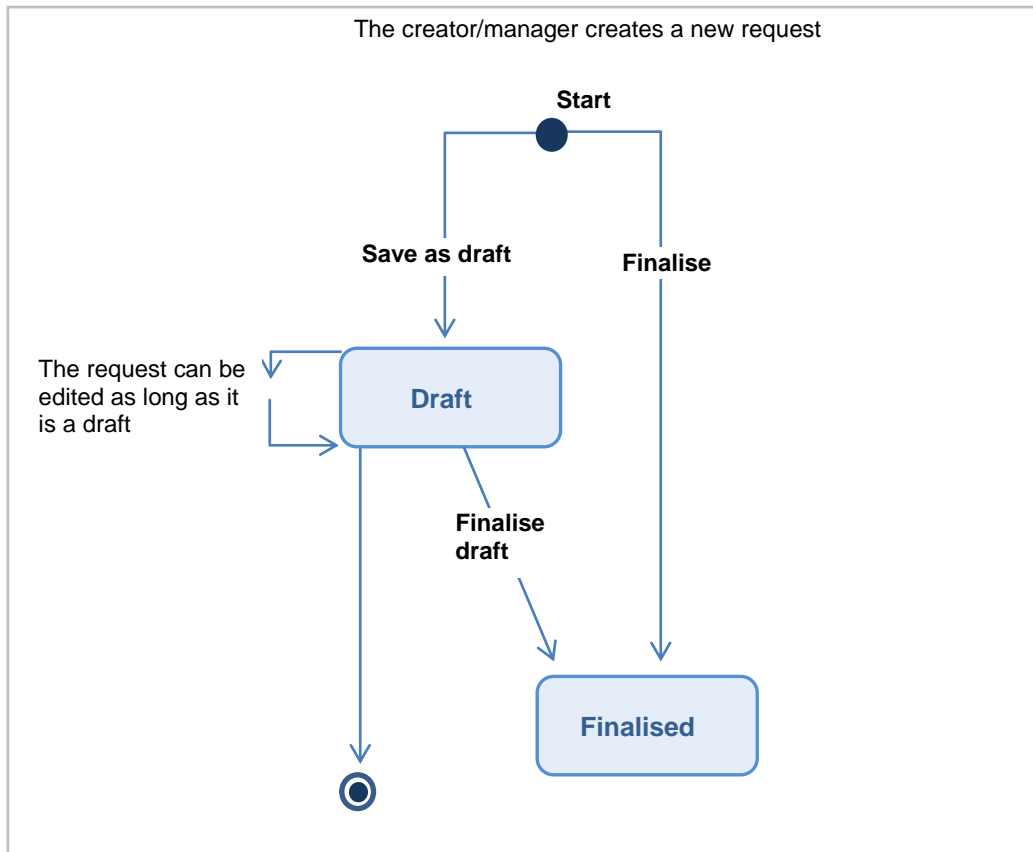


Diagram 1: The Creator/Manager creates a new request

The life cycle of a request starts with its creation.

You can create a request and after adding all the necessary information, finalise it.

3.2.2 The Manager Sends or Rejects the Request

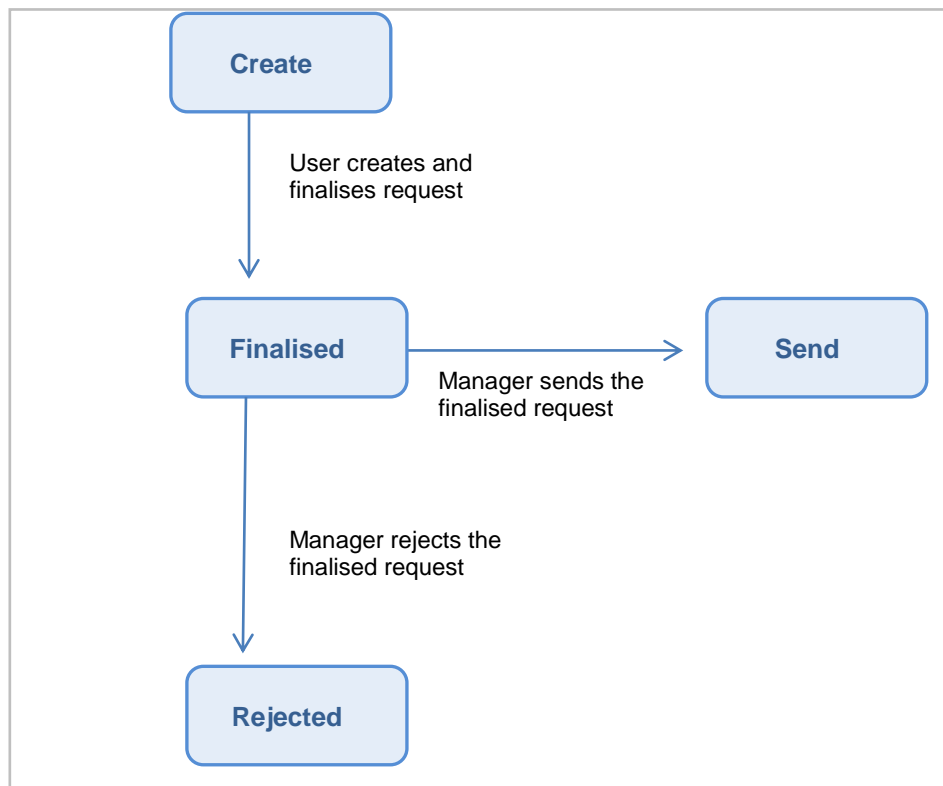


Diagram 2: The Manager sends or rejects the request

After you finalise a request, a manager of your organisation can send it to an intermediate reporting authority, or if your organisation has the necessary rights (s)he can send it directly to OLAF. The manager can also reject the request.



For more information about the reporting structure, see chapter 3.2.7 Sending Request to OLAF and the Request Workflow.



If you have manager rights you can directly send the request that you have created.

3.2.3 The Creator Edits and Finalises the Rejected Request

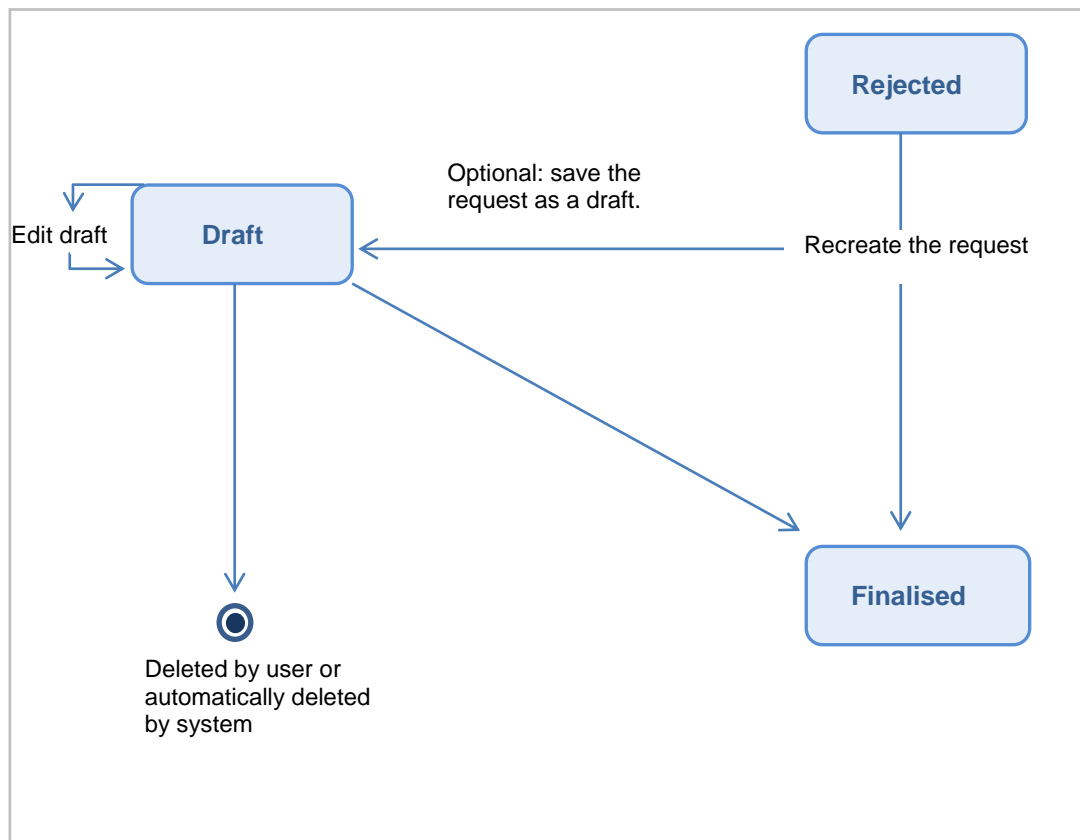


Diagram 3: The creator edits and finalises the request

If the manager of the organisation that you are part of rejected your request, you must recreate the request and finalise it. The manager will then send it.

To see which requests were rejected, go to the 'Requests' page and click the 'Rejected' tab. See chapter 13.2 List and View Requests.

3.2.4 The Manager Sends the Request

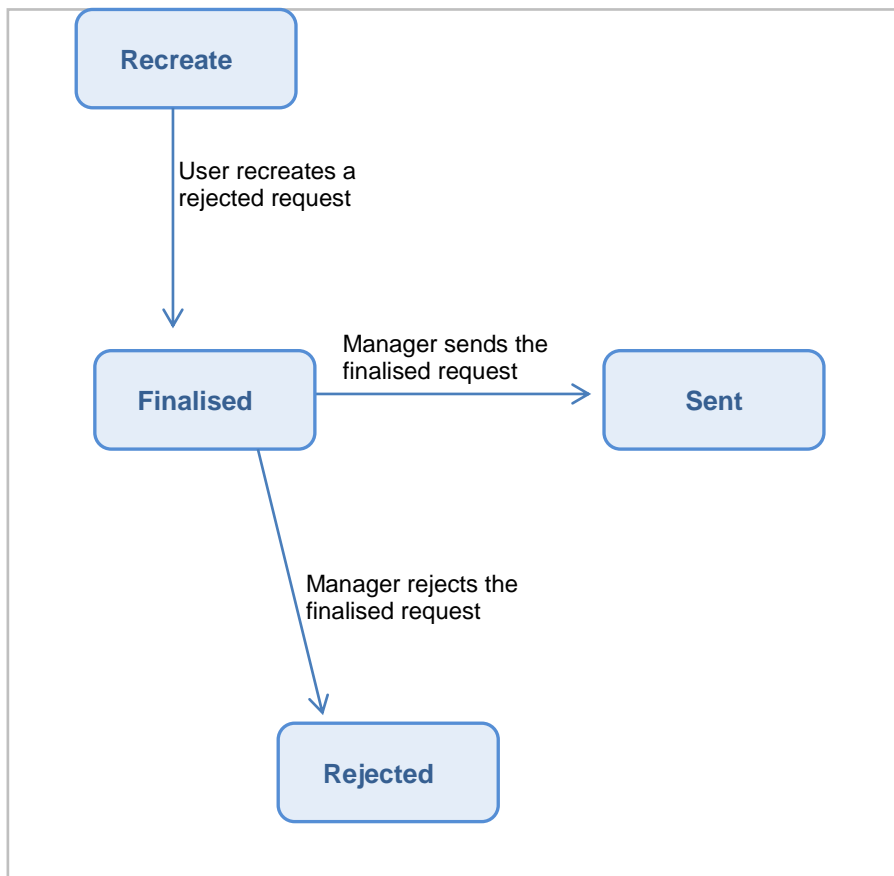


Diagram 4: The manager can either send or reject the request again

Once the rejected request is finalised, the manager can send it or reject it again.

If (s)he rejects the request again, the editor must recreate it and finalise it.

3.2.5 Sending the Request to OLAF

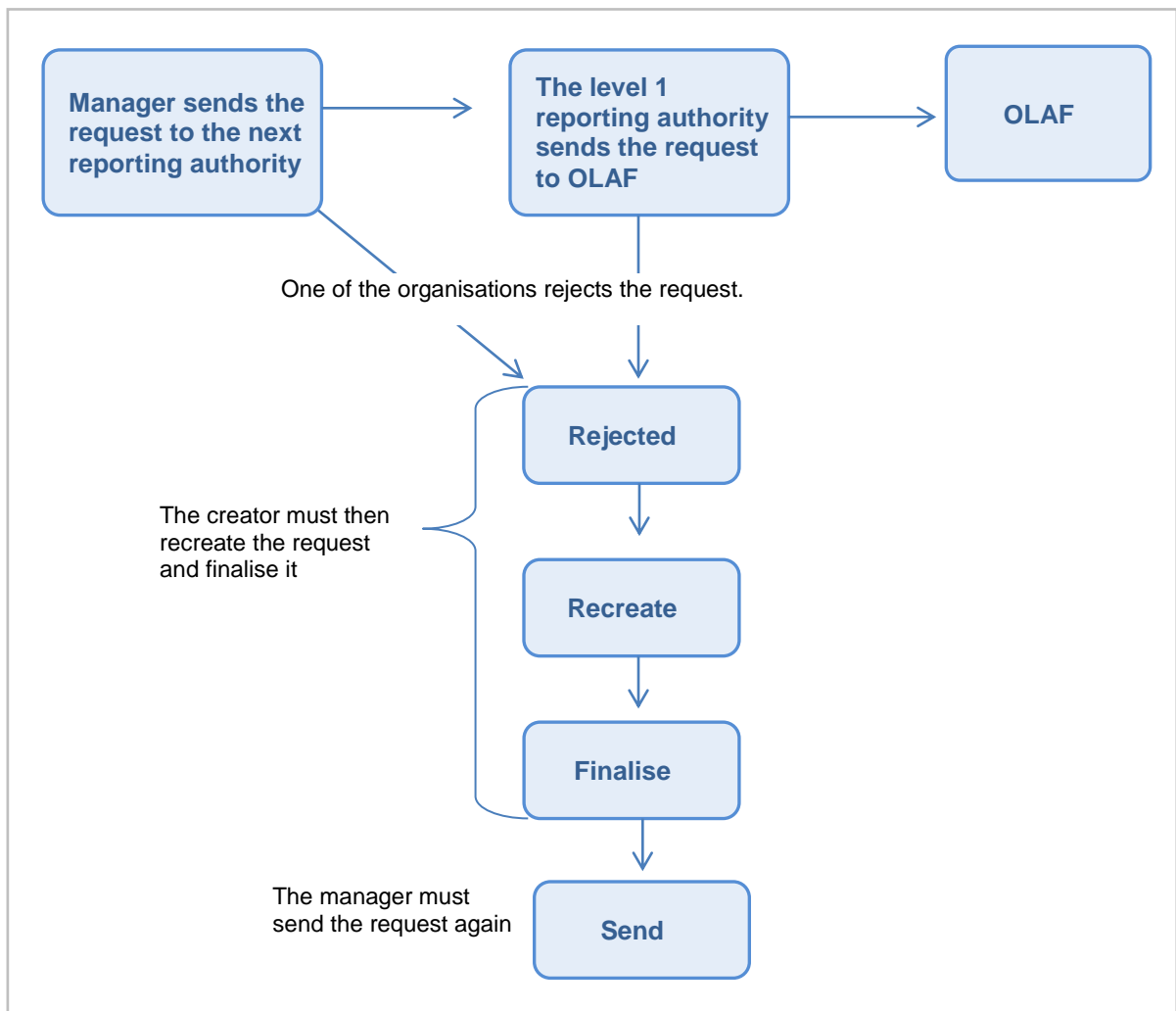


Diagram 5: Sending the request to OLAF

After the request has been sent, it will pass through the reporting structure until it is sent to OLAF.

Your manager will send the document to the reporting authority that is up one level in the reporting structure. That reporting authority will send the request to the next level reporting authority. The level 1 reporting authority will send the request to OLAF.

If your organisation is a level 1 reporting authority in the cascade, your manager will send the request directly to OLAF.

In the next sub chapter, we will explain the process of sending requests to OLAF in more detail.

When one of the reporting authorities that must send your request rejects it, the request is placed in rejected status. You must then recreate the request and finalise it (see chapter 3.2.3). Your organisation's manager must send the request to the next reporting authority in the cascade. The process of sending the request to OLAF will be restarted.

3.2.6 Sending a Request to OLAF for Approval

When a case should be closed or reopened, for specific programming periods and funds, a request for approval is sent to OLAF. Contrary to the 'Send to OLAF' status, for which no action is required from OLAF, the 'Send to OLAF for Approval' status, implies that OLAF must approve the request.

OLAF's approval for closing/reopening cases is required for the following funds and programming periods:

For **all** programming periods:

- FIG (Financial Instrument for Fishery Guidance)
- CARDS (Community Assistance for Reconstruction, Development and Stabilisation)
- ISPA (Instrument for Structural Policies for Pre-Accession)
- PHARE (Poland and Hungary: Assistance for Restructuring their Economies)
- SAPARD (Special Accession Programme for Agriculture and Rural Development)
- TF (Transition Facility)
- TIPAA (Turkish Instrument for Pre-Accession Assistance)

For **programming periods before 2007**:

- ERDF (European Regional Development Fund)
- ESF (European Social Fund) and
- CF (Cohesion Fund)

The lifecycle is the same as when you send any other type of request (see previous chapters).

3.2.7 Sending Request to OLAF and the Request Workflow

Scenario I



Diagram 6: Request Workflow (Example 1)

Scenario II

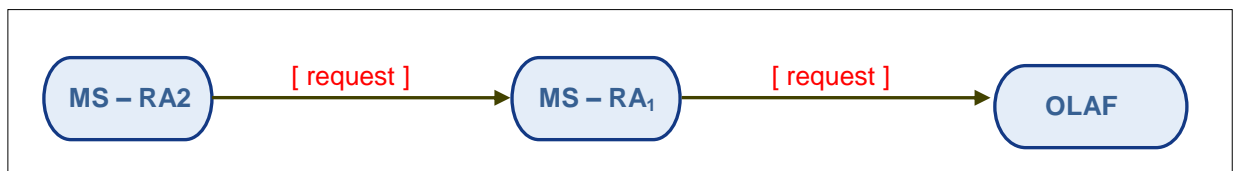


Diagram 7: Request Workflow (Example 2)

Scenario III

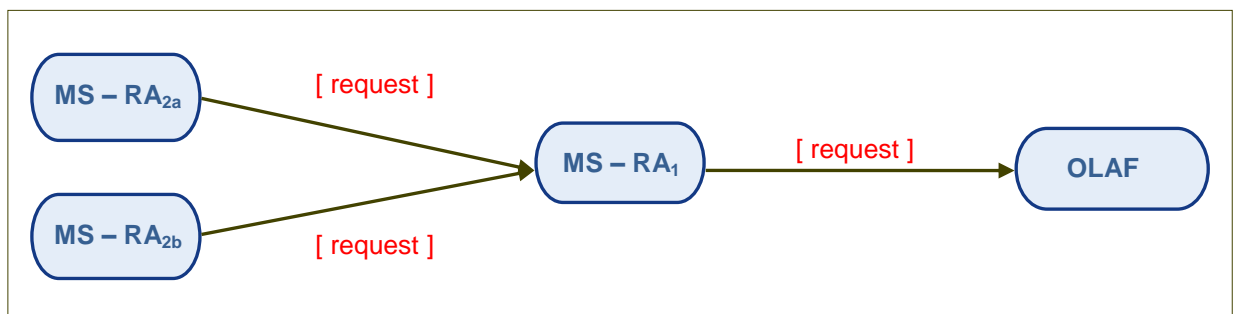


Diagram 8: Request Workflow (Example 3)

The IMS reporting structure describes the 'route' a request follows from the creator's organisation until it is sent to OLAF. The creator's organisation sends the request to the organisation that is one level higher in the reporting structure until a level 1 reporting authority sends it to OLAF.

If the request is rejected by any organisation in the reporting structure, its status is changed to 'rejected' and the creator of the request must recreate it and finalise it (chapter 3.2.3). A manager of the organisation that the creator is part of will then send the request again.

The following scenarios are examples of common request workflows.

Scenario I

RA₁ (Reporting Authority 1)

- is the originator of a request
- can send the request to OLAF (which makes it a *Level-1-RA*)
- does not have a 'parent' RA

Scenario II

RA₂ (Reporting Authority 2)

- is the originator of a request
- cannot send the request to OLAF
- has a 'parent' RA to send the request to (RA₁)

RA₁ (Reporting Authority 1)

- is the 'parent' reporting authority for RA₂
- is the receiver of the request sent by RA₂
- can send this request to OLAF (which makes it a *Level-1-RA*)
- does not have a 'parent' RA

Scenario III

RA_{2a} (Reporting Authority 2a)

- is the originator of a request
- cannot send the request to OLAF
- has a 'parent' RA to send the request to (RA₁)

RA_{2b} (Reporting Authority 2b)

- is the originator of a request
- cannot send the request to OLAF
- has a 'parent' RA to send the request to (RA₁)

RA₁ (Reporting Authority 1)

- is the 'parent' RA for RA_{2a} and RA_{2b}
- is the receiver of the request sent by RA_{2a} and RA_{2b}
- can send these request to OLAF (which makes it a *Level-1-RA*)
- does not have a 'parent' RA

3.2.8 The OLAF internal Lifecycle

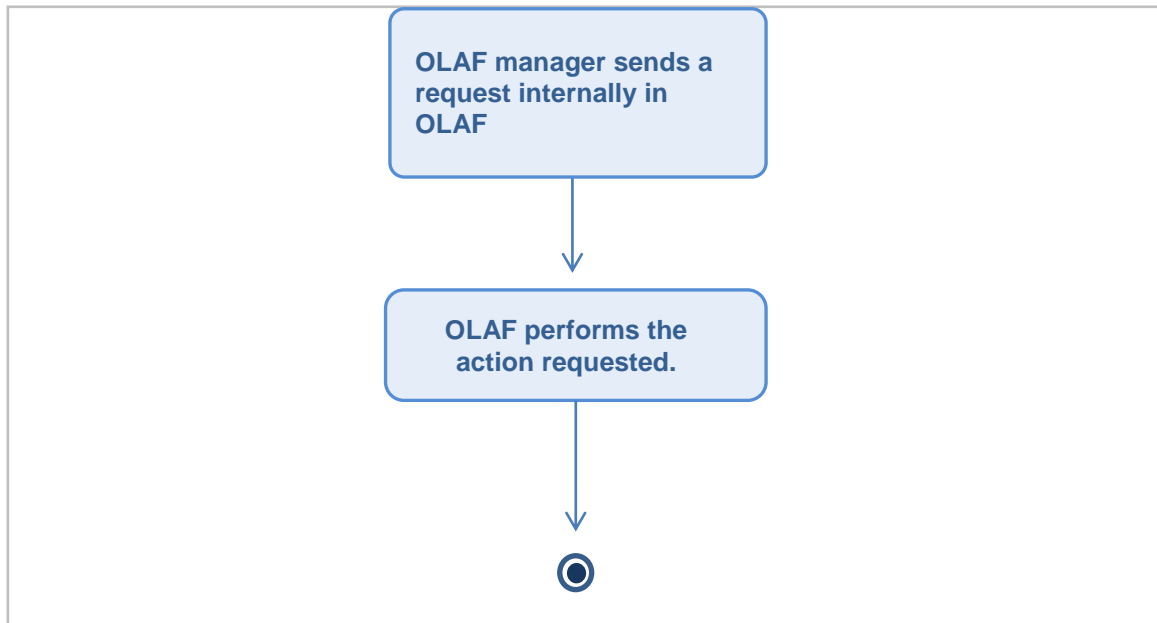


Diagram 9: request lifecycle in OLAF

OLAF can perform the following actions on a case:

- **Amend a case:** OLAF makes changes to a case, following for example new information received. This amendment is handled in OLAF.
- **Close** a case.
- **Reopen** a case.
- **Anonymise:** OLAF can anonymise a case, which means that most of the information in the case is removed.

These actions are requested and performed within OLAF and are separate from the life cycle as previously described.

Page intentionally left blank

4. Initial Request - Request to Create a Case

[Home](#)
[Cases](#)
[Requests](#)
[Search](#)
[Export / Import status](#)
[My info](#)

REQUEST TO CREATE A CASE:
 Reference number - OLAF : ERDF / BE / 512 / 2014 /
 Programming period : 2014-2020
 Currency : EUR

1 Identification
 2 Personal data
 3 Operation - general
 4 Operation - Specific - Project
 5 Operation - Specific - Agriculture
 6 Irregularity
 7 Detection
 8 Amounts
 9 Recovery
 10 Sanctions
 11 Comments

Identification

* 1.1 Fund

Select a value

* 1.2 Year

2014

* 1.3 Programming period

Select a value

1.4 Reference number - national

Drafting information

1.5 Initiating authority - complete name

182RAI - Reporting authority

272

1.6 Request language

Select a value

1.7 Currency

EUR

1.8 Exchange rate applied

1.9 National currency

Select a value

1.10 Drafting date

10/04/2014

1.11 Quarter

yyyy/Q

Special request

1.12 New modus operandi

☐

1.13 Necessity to inform other countries

☐

1.14 Person found in other case(s)

☐

Status

1.15 Proceedings

Select a value

1.16 Financial status

Select a value

[Save as draft](#)
[Finalise](#)
[Cancel](#)

Figure 3: Create initial request

4.1 Introduction

The European Union (EU) has established a set of funds to finance its policies across the member states, candidate countries and potential candidate countries. The regulations oblige countries to provide a wide range of information on irregularities detected. The Irregularity Management System (IMS) provides this information in an electronic format.

IMS requests forms consist of pages structured in tabs, enabling you to easily access the information available. Each page is divided into sections in which you can enter information.



All documentation is published in ALIB and CIRCABC.



General Information in bullet points:

- All irregularities must be reported unless derogation is applicable.
- Information on irregularity reporting, such as regulations, manuals, questions and answers (Q&A's), lists of LOs and so forth can be found in ALIB and CIRCABC.
- IMS provides some information automatically (by default). However most of these fields are editable.

Pages

The 'Create initial request' form contains eleven pages. You can access these pages by clicking the tabs. The pages follow the logical sequence of detection, dealing with and reporting of irregularities:

1. Identification
2. Personal data
3. Operation - General
4. Operation - Specific - Project
5. Operation - Specific - Agriculture
6. Irregularity
7. Detection
8. Amounts
9. Recovery
10. Sanctions
11. Comments

To display pages, click the tabs.

To help you create requests, the pages and their sections and fields will be explained in the following sub chapters.

Home Cases Requests Search Export / Import status **My info**

Cases
View All cases

Search
Search for cases
Search for requests

Requests
1 Create Initial request
Create Initial request - closed case
Create Zero Notification
View All requests

Export / Import status
Import requests
View Import status
View Export status

REQUEST TO CREATE A CASE:
Reference number - OLAF : ERDF / BE / 512 / 2014 /
Programming period : 2014-2020
Currency : EUR

1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation - Specific - Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund
Select a value

* 1.2 Year
2014

* 1.3 Programming period
Select a value

1.4 Reference number - national

Drafting information

1.5 Initiating authority - complete name
182RAI - Reporting authority

1.6 Request language
Select a value

1.7 Currency
EUR

1.8 Exchange rate applied

1.9 National currency
Select a value

1.10 Drafting date
10/04/2014

1.11 Quarter
yyyy/Q

Special request

1.12 New modus operandi
O

1.13 Necessity to inform other countries
O

1.14 Person found in other case(s)
O

Status

1.15 Proceedings
Select a value

1.16 Financial status
Select a value

3

Save as draft Finalise Cancel


Figure 4: IMS calendar

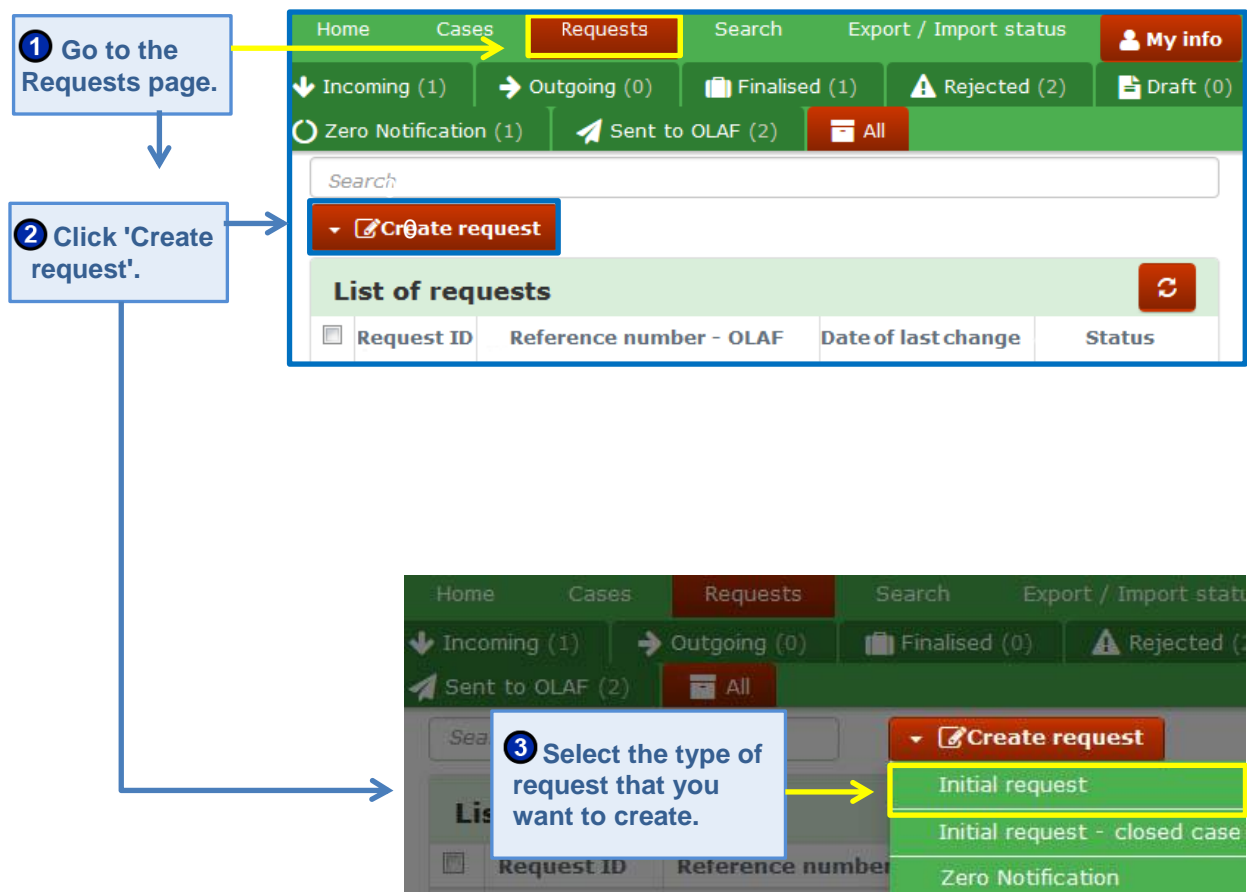
4.2 How to Create an Initial Request

You create an initial request when you want to create a new case (a case that doesn't exist in the system yet). In order to complete the requests, you must fill in a set of fields, following the applicable business rules. These rules will be explained in the following sub chapters.

To start creating a request:

- 1 Click the 'Create Initial request' link on the IMS homepage.
- 2 The request page is displayed.
- 3 Enter the necessary information and click **Finalise** (or **Send** if you have manager rights). Alternatively click **Save as draft**.

 You can also create a request from the 'Requests' page, by selecting 'Initial request' from the 'Create request' drop-down list. See the image below.



REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

- 1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation - Specific - Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund

ERDF European Regional Development Fund x

* 1.2 Year

2014

* 1.3 Programming period

2014-2020 x

1.4 Reference number - national

Belgium - file number reporting authority 123AB

Drafting information

1.5 Initiating authority - complete name

ERDF - Reporting Authority competent for ERDF

272

1.6 Request language

EN English x

1.7 Currency

EUR

1.8 Exchange rate applied

1.9 National currency

EUR EURO x

1.10 Drafting date

10/04/2014

1.11 Quarter

2014/2

Special request

1.12 New modus operandi

I

1.13 Necessity to inform other countries

O

1.14 Person found in other case(s)

I

Use the field 11.3. Attachments to attach the list of references to the other case(s) which contain the same person(s) involved.

Status

1.15 Proceedings

AP Administrative proceedings

1.16 Financial status

RUNW Recovery under way x

Save as draft

Finalise

Cancel

Figure 5: Page 1 Identification

4.3 Page 1: Identification

This page provides general information on the request itself, such as the reference number, the reporting authority, the currency and so forth.

Section – Identification

This section contains information that makes it possible to identify the case.



After finalising the request, you cannot change fields 1.1, 1.2 or 1.3 anymore. You can however ask the OLAF manager to make changes to these fields.

1.1. Fund



Select one of the options from the drop-down list.

Enter the name of the fund in the 'Search' field, to search for it.

Example: In the image on the left, ERDF has been selected from the drop-down list.

1.2. Year

reporting year



IMS adds the current year by default. You can select another year from the drop-down list. . You can only select the previous, the current or the next year.

Example: In the image on the left, the year 2014 has been selected.

1.3. Programming period

Select one of the programming periods from the drop-down list. The available values depend on the selected fund.

1.4. Reference number - national

The 'reference number – national' is a reference number that was issued by your country. Normally a national service or administration issues a file or record-number. Entering that number in this field, enables you to use it in a search.

Example: In the image on the left 'Belgium – file number reporting authority 123AB' was entered as the national reference number.



Some of the information that you enter in the 'Identification' page, is automatically added to the header of the request and is always displayed while creating or viewing the request. Also, when you save a request as a draft and reopen it, an ID number is automatically added.

Home Cases Requests Search Export / Import status My info

REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 512 / 2014 /
 Programming period : 2014-2020
 Currency : EUR

1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation - Specific - Agriculture
 6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund
 ERDF European Regional Development Fund x

* 1.2 Year
 2014

* 1.3 Programming period
 2014-2020 x

1.4 Reference number - national
 Belgium - file number reporting authority 123AB

Drafting information

1.5 Initiating authority - complete name
 ERDF - Reporting Authority competent for ERDF

1.6 Request language
 EN English x

1.7 Currency
 EUR

1.8 Exchange rate applied
 272

1.9 National currency
 EUR EURO x

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)

REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

- 1 Identification 2 Personal data 3 Operation-general 4 Operation-Specific-Project 5 Operation-Specific-Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund

ERDF European Regional Development Fund x

* 1.2 Year

2014

* 1.3 Programming period

2014-2020 x

1.4 Reference number - national

Belgium - file number reporting authority 123AB

Drafting information

1.5 Initiating authority - complete name

ERDF - Reporting Authority competent for ERDF

272

1.6 Request language

EN English x

1.7 Currency

EUR

1.8 Exchange rate applied

1.9 National currency

EUR EURO x

1.10 Drafting date

10/04/2014

1.11 Quarter

2014/2

Special request

1.12 New modus operandi

I

1.13 Necessity to inform other countries

O

1.14 Person found in other case(s)

I

Use the field 11.3. Attachments to attach the list of references to the other case(s) which contain the same person(s) involved.

Status

1.15 Proceedings

AP Administrative proceedings

1.16 Financial status

RUNW Recovery under way x

[Save as draft](#)[Finalise](#)[Cancel](#)

Section - Drafting information

This section contains information about the drafting of the request, such as: who drafted the request, which language and currency were used, when it was drafted and so forth.

1.5 Initiating authority - complete name

IMS adds the name as provided by your LO in URT by default. The URT-short-name and the URT-long-name of the organisation to which you belong are added.



You can change the values in this field. However, in such cases you need to inform your LO that the information in URT should be updated.

Example:

In the image on the left '**ERDF – Reporting Authority competent for ERDF**' has been added as the reporting authority.

1.6 Request language

The language in which you provide the information. IMS selects the language chosen in 'my profile' by default. You can select another language from the drop-down list.

Example:

In the image on the left, '**English**' was selected as the request language.

1.7. Currency

The amounts must always be reported in Euro, hence this field is not editable.


1.8. Exchange rate applied

If you converted the amounts to add to the request from a national currency, you must enter the exchange rate applied. Be aware that the applied rate can differ from the official rate. (field 4.1.3).

1.9. National Currency

If you converted the amounts that you added to the request from a national currency into Euro, you must select that national currency from this drop-down list.

1.10. Drafting date

Select the date when you finalised the request, from the calendar (click ). By default, IMS adds the date (i.e. the current day) when you started creating the request.



This field was created at the request of those countries that use it to monitor the processing time (starting from the moment when a creator finalises a request).

Example:

In the image on the left '**10/04/2014**' has been selected as the drafting date.

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)

REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

- 1 Identification 2 Personal data 3 Operation-general 4 Operation-Specific-Project 5 Operation-Specific-Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund

ERDF European Regional Development Fund x

* 1.2 Year

2014

* 1.3 Programming period

2014-2020 x

1.4 Reference number - national

Belgium - file number reporting authority 123AB

Drafting information

1.5 Initiating authority - complete name

ERDF - Reporting Authority competent for ERDF

272

1.6 Request language

EN English x

1.7 Currency

EUR

1.8 Exchange rate applied

1.9 National currency

EUR EURO x

1.10 Drafting date

10/04/2014

1.11 Quarter

2014/2

Special request

1.12 New modus operandi

I

1.13 Necessity to inform other countries

O

1.14 Person found in other case(s)

I

Use the field 11.3. Attachments to attach the list of references to the other case(s) which contain the same person(s) involved.

Status

1.15 Proceedings

AP Administrative proceedings

1.16 Financial status

RUNW Recovery under way x

[Save as draft](#)[Finalise](#)[Cancel](#)

1.11. Quarter

Irregularities have to be reported within 2 months after the quarter during which the irregularity was detected. Enter the quarter and the year that the request pertains to. The quarter must be one digit (1 to 4).

Example:

In the image on the left '**2014/2**' was entered as the quarter of the request.

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)**REQUEST TO CREATE A CASE:**

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

- 1 Identification 2 Personal data 3 Operation-general 4 Operation-Specific-Project 5 Operation-Specific-Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification*** 1.1 Fund**

ERDF European Regional Development Fund x

*** 1.2 Year**

2014

*** 1.3 Programming period**

2014-2020 x

1.4 Reference number - national

Belgium - file number reporting authority 123AB

Drafting information**1.5 Initiating authority - complete name**

ERDF - Reporting Authority competent for ERDF

272

1.6 Request language

EN English x

1.7 Currency

EUR

1.8 Exchange rate applied**1.9 National currency**

EUR EURO x

1.10 Drafting date

10/04/2014

1.11 Quarter

2014/2

Special request**1.12 New modus operandi**

I

1.13 Necessity to inform other countries

O

1.14 Person found in other case(s)

I

Use the field 11.3. Attachments to attach the list of references to the other case(s) which contain the same person(s) involved.

Status**1.15 Proceedings**

AP Administrative proceedings

1.16 Financial status

RUNW Recovery under way x


[Save as draft](#)[Finalise](#)[Cancel](#)


Section - Special request

This section contains information on 'special' or urgent requests. The regulations oblige countries to send a special or urgent request when:

- A new modus operandi has been applied.
- Other countries need to be warned.
- A person was found in other cases as well.


1.12. New modus operandi

If a new modus operandi has been applied and colleagues in your country or in another country need to be warned, click this button (set to  (yes)).


If you set 'new modus operandi' to  (yes), IMS informs OLAF-staff that a new modus operandi was discovered. OLAF-staff will analyse and evaluate the information. If necessary, additional information will be requested via the LO. The results will be used to inform other countries. Of course, the latter will be done in close cooperation with the competent LOs.

1.13. Necessity to inform other countries

Click this button if other countries must be informed about the case, due to for instance the nationality of the person(s) who committed the irregularity, their place of registration or that the activity takes place in those countries as well.

If you set 'Necessity to inform other countries' to  (yes), IMS informs OLAF-staff that other countries need to be informed. OLAF-staff will analyse and evaluate the information. If necessary, additional information will be requested via the LO. The results will be used to inform other countries. Of course, the latter will be done in close cooperation with the competent LOs.

1.14. Person found in other case(s)

Set to  (yes) if the person(s) in the case were found in other cases as well. If you set this option to yes, a warning message is displayed to alert you to the fact that you must attach in field 11.3 the list of references to the other case(s), which contain the same person(s) involved.

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)**REQUEST TO CREATE A CASE:**

Reference number - OLAF : ERDF / BE / 512 / 2014 /

Programming period : 2014-2020

Currency : EUR

- 1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation - Specific - Agriculture
6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification*** 1.1 Fund**

ERDF European Regional Development Fund x

*** 1.2 Year**

2014

*** 1.3 Programming period**

2014-2020 x

1.4 Reference number - national

Belgium - file number reporting authority 123AB

Drafting information**1.5 Initiating authority - complete name**

ERDF - Reporting Authority competent for ERDF

272

1.6 Request language

EN English x

1.7 Currency

EUR

1.8 Exchange rate applied**1.9 National currency**

EUR EURO x

1.10 Drafting date

10/04/2014

1.11 Quarter

2014/2

Special request**1.12 New modus operandi**

I

1.13 Necessity to inform other countries

O

1.14 Person found in other case(s)

I

Use the field 11.3. Attachments to attach the list of references to the other case(s) which contain the same person(s) involved.

Status**1.15 Proceedings**

AP Administrative proceedings

1.16 Financial status

RUNW Recovery under way x

[Save as draft](#)[Finalise](#)[Cancel](#)

Section - Status

This selection contains information on the proceedings and the financial status of the case.

1.15. Proceedings

Select the type of proceedings initiated to follow up the irregularity from the drop-down list.

Example:

In the image on the left the **'Administrative proceedings'** procedure has been selected.

1.16. Financial status

Select the financial status of the case from the drop-down list.

Example:

In the image on the left **'recovery under way'** has been selected as the financial status.

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)

REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

[1 Identification](#)[2 Personal data](#)[3 Operation - general](#)[4 Operation - Specific - Project](#)[5 Operation - Specific - Agriculture](#)[6 Irregularity](#)[7 Detection](#)[8 Amounts](#)[9 Recovery](#)[10 Sanctions](#)[11 Comments](#)

Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number

BE12345

NL98745AAP

2.1.4 Company name / Family name

Brewery Black Sheep Beer SA

Borrelaar

Showing 1 to 2 of 2
record(s)Page size **10**<< < **1** > >>**Add**

2.2 Justification for non disclosure

2000

Save as draft**Finalise****Cancel**

2.1.1 Legal status

☒ **Person** ☐ **Company**

2.1.2 National ID number

NL98745AAP

2.1.3 Beneficiary ID number

NL256667987

2.1.4 Company name / Family name

Borrelaar

2.1.5 Trade name / First name

Jan

2.1.6 Parent name / Independent prefix

van den

2.1.7 Street

Hoofdstraat 1

2.1.8 Postcode

7600 AA

2.1.9 City

Almelo

Territorial unit where the person is
registered

2.1.10 Country

NL Netherlands

2.1.11 NUTS level 1

NL2 Oost-Nederland

2.1.12 NUTS level 2

NL21 Overijssel

2.1.13 NUTS level 3

NL213 Twente

Flagged

2.1.14 On basis of Reg. 1469/1995

I

2.1.15 On basis of Reg. 966/2012 (art. 108)

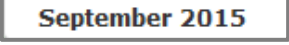
O

Save**Cancel**

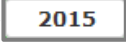
Figure 6: Page 2 Personal data



4.3.1 How to Use the Calendar Option While Creating a Request

When you add dates to the request, you will use the calendar (with few exceptions, you cannot key-in dates manually). This calendar has several hidden but very useful features.

① **To select a different month**, click on the date button (). The months of the year are displayed and you can select one. The days of that month are then automatically displayed. Click one to select it.

② While selecting a month, you can also easily skip to another year.

Click the year button () and all available years are displayed. Select a year and the months of that year are displayed.

③ Use the   buttons to navigate through the years.

The figure illustrates the process of creating an initial request in the IMS system, consisting of four steps:

- Step 1:** The user navigates to the **Requests** tab in the top navigation bar.
- Step 2:** The user clicks the **Create request** button, which opens a dropdown menu.
- Step 3:** The user selects the **Initial request** option from the dropdown menu.
- Step 4:** The user is taken to the **REQUEST TO CREATE A CASE** form. The form includes the following sections:
 - Reference number - OLAF :** ERDF / BE / 512 / 2014 /
 - Programming period :** 2014-2020
 - Currency :** EUR
 - Identification** (1.1 Fund, 1.2 Year, 1.3 Programming period, 1.4 Reference number - national)
 - Drafting information** (1.5 Initiating authority - complete name, 1.6 Request language, 1.7 Currency, 1.8 Exchange rate applied, 1.9 National currency, 1.10 Drafting date, 1.11 Quarter)
 - Special request** (1.12 New modus operandi, 1.13 Necessity to inform other countries, 1.14 Person found in other case(s))
 - Status** (1.15 Proceedings, 1.16 Financial status)

Figure 7: Create initial request

4.4 Page 2: Personal Data

This page provides all information concerning persons involved. A person involved is anyone who had a substantial role in the irregularity (including the beneficiary, the person who initiated the irregularity (such as the manager, consultant or adviser), the person who committed the irregularity and so forth.

Section - Identification of persons involved

This section contains detailed information on the persons involved in the case. You can add one or more persons in this section.

Click the **Add** button to start adding a new person. Enter all the necessary information and click the **Save** button to add the person to the request. Alternatively, click **Cancel** to stop. You must click one of these buttons to continue.

You can also edit or delete an added person:

1. Click the person that you want to edit/delete. The person's details are displayed
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the person from the request.



Cancel editing the person.

2.1. Legal person/natural person

All added persons are listed in this section. To add a new person, click the **Add** button.

2.1.1. Legal status

The person(s) involved in the case are either natural persons or companies (a company is also referred to as legal person).



A legal person is an artificial person who is recognized by law as having a legal personality. A legal person may be a private (i.e. business entity) or public (i.e. government) organisation.

Example:

In the image on the left, data concerning a natural person has been added.

If you click outside the person's details field, in the greyed out area, the system considers this as an attempt to close without saving. A warning message is displayed to ask you if you want to close without saving. If you click **Yes**, you will lose all the information that you entered in these fields.

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Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number

BE12345

NL98745AAP

2.1.4 Company name / Family name

Brewery Black Sheep Beer SA

Borrelaar

Showing 1 to 2 of 2
record(s)

Page size 10

<< < 1 > >>

Add

2.2 Justification for non disclosure

2000

Save as draft

Finalise

Cancel

2.1.1 Legal status

☒ Person
 ☐ Company

2.1.2 National ID number

NL98745AAP

2.1.3 Beneficiary ID number

NL256667987

2.1.4 Company name / Family name

Borrelaar

2.1.5 Trade name / First name

Jan

2.1.6 Parent name / Independent prefix

van den

2.1.7 Street

Hoofdstraat 1

2.1.8 Postcode

7600 AA

2.1.9 City

Almelo

Territorial unit where the person is registered

2.1.10 Country

NL Netherlands

2.1.11 NUTS level 1

NL2 Oost-Nederland

2.1.12 NUTS level 2

NL21 Overijssel

2.1.13 NUTS level 3

NL213 Twente

Flagged

2.1.14 On basis of Reg. 1469/1995

I

2.1.15 On basis of Reg. 966/2012 (art. 108)

O

Save

Cancel

2.1.2. National ID number

Enter the national identification number.

In many countries, a national identification number is used as a means of tracking citizens or permanent/temporary residents, for the purposes of work, taxation, government benefits, health care and other government-related functions. Sometimes you can find this number on an identity card issued by the country.

Example:

In the image on the left, the following value has been entered: NL98745AAP

2.1.3 Beneficiary ID number

Enter the ID number of the beneficiary.

2.1.4. Company name | Family name

You should, depending on the person's status (legal or natural person), enter the company name or family name of the person involved. You must enter the official name, i.e. the name as found in the official registers.

Example:

In the image on the left, the following value has been entered: '**Borrelaar**'.

2.1.5. Trade name | First name

You should, depending on the person's status (legal or natural person), enter the trade name or the first name of the person involved.

The trade name is the name under which a business trades for commercial purposes. It is also known as the 'trading name' or 'business name'. A trade name is not used for legal purposes, but for visibility purposes towards its customers.

Be aware that entering the trade name implies that there is also a company name, hence field 2.1.4. 'Company name' must be filled in as well.

Example:

In the image on the left, the following value was entered: '**Jan**'

2.1.6. Parent name | Independent prefix

You should, depending on the person's status (legal or natural person), enter the name of the parent company or the independent prefix of the person involved.

Parent company: a firm that owns and manages other firms (i.e. subsidiaries, which are legal persons).

Independent prefix: a prefix that is placed between the first name and the family name. This is commonly used in countries such as Belgium, the Netherlands and Germany.

Example: Jan **van den** Borrelaar, where '**van den**' is the prefix.

Example:

In the image on the left, the following prefix has been entered: '**van den**'.

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Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number

BE12345

NL98745AAP

2.1.4 Company name / Family name

Brewery Black Sheep Beer SA

Borrelaar

Showing 1 to 2 of 2
record(s)

Page size 10

<< < 1 > >>

Add

2.2 Justification for non disclosure

2000

Save as draft

Finalise

Cancel

2.1.1 Legal status

☒ Person
 ☐ Company

2.1.2 National ID number

NL98745AAP

2.1.3 Beneficiary ID number

NL256667987

2.1.4 Company name / Family name

Borrelaar

2.1.5 Trade name / First name

Jan

2.1.6 Parent name / Independent prefix

van den

2.1.7 Street

Hoofdstraat 1

2.1.8 Postcode

7600 AA

2.1.9 City

Almelo

Territorial unit where the person is registered

2.1.10 Country

NL Netherlands

2.1.11 NUTS level 1

NL2 Oost-Nederland

2.1.12 NUTS level 2

NL21 Overijssel

2.1.13 NUTS level 3

NL213 Twente

Flagged

2.1.14 On basis of Reg. 1469/1995

I

2.1.15 On basis of Reg. 966/2012 (art. 108)

O

Save

Cancel

2.1.7. Street

Enter the street where the person is officially registered.

2.1.8. Postcode

Enter the postal code where the person is officially registered.

2.1.9. City

Enter the city or village where the person is officially registered.

Section - Territorial unit where the person is registered

This section contains information on the territory where the person is officially registered.

2.1.10. Country

Enter the country where the person is officially registered.

In the image on the left, the following country has been selected: '**Netherlands**'.

2.1.11. NUTS level 1

Select a value from the drop-down list. The available values depend on the country selected in the previous field. The drop-down list contains all NUTS-values used from 2003 onwards.

NUTS classification (Nomenclature des Unités Territoriales Statistiques (in English: nomenclature of territorial units for statistics) is a hierarchical system for dividing up the economic territory of the EU for the purpose of:

1. The collection, development and harmonisation of EU regional statistics.
2. Socio-economic analyses of the regions.
3. Framing of EU regional policies.

Example:

In the image on the left, the following value has been selected: '**OOST-NEDERLAND**'.

2.1.12. NUTS level 2

Select a value from the drop-down list. The available values in the drop-down list depend on the value selected in the previous field.

Example:

In the image on the left, the following value has been selected: '**Overijssel**'.

2.1.13. NUTS level 3

Select a value from the drop-down list. The available values in the drop-down list depend on the value selected in the previous field.

Example:

In the image on the left, the following value has been selected: '**Twente**'.

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Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number

BE12345

NL98745AAP

2.1.4 Company name / Family name

Brewery Black Sheep Beer SA

Borrelaar

Showing 1 to 2 of 2
record(s)

Page size 10

<< < 1 > >>

Add

2.2 Justification for non disclosure

2000

Save as draft

Finalise

Cancel

2.1.1 Legal status

☒ Person ☐ Company

2.1.2 National ID number

NL98745AAP

2.1.3 Beneficiary ID number

NL256667987

2.1.4 Company name / Family name

Borrelaar

2.1.5 Trade name / First name

Jan

2.1.6 Parent name / Independent prefix

van den

2.1.7 Street

Hoofdstraat 1

2.1.8 Postcode

7600 AA

2.1.9 City

Almelo

Territorial unit where the person is registered

2.1.10 Country

NL Netherlands

2.1.11 NUTS level 1

NL2 Oost-Nederland

2.1.12 NUTS level 2

NL21 Overijssel

2.1.13 NUTS level 3

NL213 Twente

Flagged

2.1.14 On basis of Reg. 1469/1995

I

2.1.15 On basis of Reg. 966/2012 (art. 108)

O

Save


Cancel

Section - Flagged


This section indicates if a person fits the criteria necessary to be placed on the 'black list' or to be registered in the Central Exclusion Database. In the image on the left, the Central Exclusion Database

option has been selected ().

2.1.14. On basis of Reg. 1469/1995

Set to  (yes) ' If the added person should be placed on the blacklist based on Council Regulation (EC) No 1469/95 of the 22th of June 1995, on measures to be taken regarding certain beneficiaries of operations financed by the Guarantee Section of the EAGGF (European Agricultural Guidance and Guarantee Fund)).

2.1.15. On basis of Reg. 966/2012 (art. 108)

Set to  (yes), if the added person should be registered in the Central Exclusion Database based on Regulation (EU, Euratom) No 966/2012 of the European Parliament and of the Council of the 25th of October 2012, on the financial rules applicable to the general budget of the Union and repealing Council Regulation (EC, Euratom) No 1605/2002.

2.2. Justification for non disclosure

You are obliged to enter the identity of legal/natural persons involved in the irregularity. However, in certain cases, you cannot provide the requested data due to, for instance, an ongoing investigation. In such cases, you must provide a justification for the non disclosure of nominal data.

Be aware that the justification should be more than a simple phrase. You should provide a clear explanation on why no nominal data was processed. For example, the following justification is **not sufficient**: *'national data protection rules do not allow to forward nominal data'*.

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Description of operation

< 2000

3.1 Objective
Select a value

3.2 ARINCO number

150

3.3 EFRD/ESF/EAGGF/FIFG number

50

≥ 2000

3.4 CCI number
Select a value

3.5 Objective - CCI
3.7 Programme
3.9 EC decision - number
3.11 Priority
Select a value

3.6 Interregional
3.8 Programme closure date
3.10 EC decision - date
3.12 Theme
Select a value

Territorial unit where the operation takes place

3.13 Country
Select a value

3.14 NUTS level 1
Select a value

3.15 NUTS level 2
Select a value

3.16 NUTS level 3
Select a value

3.17 Competent authority

250

Save as draft
Finalise
Cancel

Figure 8: Page 3 Operation - General

4.5 Page 3: Operation - General

This page provides information on the operation or the support measure.

Section - Description of operation

This section contains detailed information on the operation for which the subsidy was granted.

3.1. Objective

Select the applicable objective from the drop-down list. This is applicable only for programming periods before the year 2000.

3.2. ARINCO No.

Enter the ARINCO-number if applicable.

The ARINCO information system was developed at the request of the European Commission and provides information on the structural funding activities concerning programming periods before 2000.

This field is only active for the programming periods before 2000 (selected on page 1 Identification, field 1.3).

3.3. EFRD/ESF/EAGGF/FIFG number

Enter the EFRD/ESF/EAGGF/FIFG-number if applicable.

The EFRD/ESF/EAGGF/FIFG-number was developed at the request of the European Commission and provided information on the structural funding activities concerning programming periods before 2000.

This field is only active for the programming periods before 2000 (selected on page 1 Identification, field 1.3).

Identification numbers are available for the following funds:

EFRD	– European Fund for Regional Development
ESF	– European Social Fund
EAGGF	– European Agricultural Guidance and Guarantee Fund (Guidance)
FIFG	– Financial Instrument for Fisheries Guidance

3.4. CCI-number

Select the corresponding CCI-number from the drop-down list.

The drop-down list is limited to those numbers that may be applicable to the fund and programming period selected.

The field is active for programming periods after the year 2000 with the exception of the Cohesion Fund (CF) for which the field is active for programming periods before and after the year 2000.

The CCI-number (Code Commun d'Identification, or in English: Common Identification Code) consists of 6 subparts:

Year	: starting year of the programme/object
CC	: country or geographical region
DG	: numerical code of the DG 'chef de file'
FF	: character code for the fund(s) covered by the programme/object
TP	: type of object
SEQ	: sequence

The drop-down list is based on SFC2007 and SFC2014:

SFC2007: System for Fund management in the European Community 2007-2013

SFC2014: System for Fund management in the European Community 2014-2020

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Description of operation**< 2000****3.1 Objective**

Select a value

3.2 ARINCO number

150

3.3 EFRD/ESF/EAGGF/FIFG number

50

≥ 2000**3.4 CCI number**

Select a value

3.5 Objective - CCI**3.7 Programme****3.9 EC decision - number****3.11 Priority**

Select a value

3.6 Interregional**3.8 Programme closure date****3.10 EC decision - date****3.12 Theme**

Select a value

Territorial unit where the operation takes place**3.13 Country**

Select a value

3.14 NUTS level 1

Select a value

3.15 NUTS level 2

Select a value

3.16 NUTS level 3

Select a value

3.17 Competent authority

250

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3.5 Objective – CCI

The CCI-number that you selected in field 3.4 is displayed here.

3.6. Interregional

The interregional programme reference to which the project affected by the irregularity was related is displayed here and is based on the selected CCI.

3.7. Programme

Based on the information that you entered in the previous fields, IMS automatically adds the name of the programme. This field is non-editable.

If IMS provides incorrect information, please contact OLAF via your LO.

3.8. Programme closure date

Based on the selected CCI number, IMS automatically adds the programme closure date. The field is non-editable.

If IMS provides incorrect information, please contact OLAF via your LO.

3.9. EC decision – number

Based on the selected CCI number, IMS automatically adds the EC-decision-number. The information is derived from databases such as SFC2007 and SFC2014.

3.10. EC decision - date

Based on the selected CCI number, IMS automatically adds the EC-decision-date. The information is derived from databases such as SFC2007 and SFC2014.

3.11. Priority

You need to select the applicable priority from the drop-down list.

3.12. Theme

You need to select the applicable theme from the drop-down list. The drop-down list is based on the priority selected.

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Description of operation

< 2000

3.1 Objective

Select a value

3.2 ARINCO number

150

3.3 EFRD/ESF/EAGGF/FIFG number

50

≥ 2000

3.4 CCI number

Select a value

3.5 Objective - CCI

3.7 Programme

3.9 EC decision - number

3.11 Priority

Select a value

3.6 Interregional

3.8 Programme closure date

3.10 EC decision - date

3.12 Theme

Select a value

Territorial unit where the operation takes place

3.13 Country

Select a value

3.14 NUTS level 1

Select a value

3.15 NUTS level 2

Select a value

3.16 NUTS level 3

Select a value

3.17 Competent authority

250

[Save as draft](#)[Finalise](#)[Cancel](#)

Section - Territorial unit where the operation takes place

This section contains information about where the operation takes place.

3.13. Country

Select the country where the operation takes place.

3.14. NUTS level 1

Select one of the values from the drop-down list. The values in the drop-down list depend on the country selected in the previous field. The drop-down list contains all NUTS-values from 2003 onwards.

The NUTS classification is a hierarchical system for dividing up the economic territory of the EU for the purpose of:

1. The collection, development and harmonisation of EU regional statistics
2. Socio-economic analyses of the regions
3. Framing of EU regional policies



NUTS: nomenclature of territorial units for statistics (Nomenclature des Unités Territoriales Statistiques).

3.15. NUTS level 2

Select a value from the drop-down list. The available values depend on the value selected in the previous field.

3.16. NUTS level 3

You need to select a value from the drop-down list. The values in the drop-down list depend on the value selected in the previous field.

3.17. Competent authority

Enter the name of the competent authority, (e.g. Managing Authority (MA), Paying Agency (PA)) in this field. Since this concerns the 'Operation-general' page, the authority that granted the support measure should be indicated.


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Project

4.1 Project

4.1.1 Project - name

4.1.2 Project - number

4.1.4 Amount of expenditure (EU-share)

No record(s)

Add

①

* 4.1.1 Project - name

Select a value

4.1.2 Project - number

Select a value

4.1.3 Co-financing
rate %

Financial impact

	EU-share	National-share	Public contribution	Private-share	Total
4.1.4 Amount of expenditure	<input type="text"/>	+ <input type="text"/>	= <input type="text"/>	+ <input type="text"/>	= <input type="text"/>
4.1.5 Amount of irregularity	<input type="text"/>	+ <input type="text"/>	= <input type="text"/>		

②

Save

Cancel

 Please confirm

Do you want the amounts entered here to be copied to the corresponding fields on page 8. Amounts?

③

Yes

No

Figure 9: Page 4 Operation - Specific - Project

4.6 Pages 4 and 5: Operation Specific

These pages contain specific information on the operation or the support measure.



These pages are mutually exclusive; **you should enter information on only one of these pages**, depending on the fund.

4.6.1 Page 4: Operation - Specific - Project

4.1. Project

All added projects are listed in this section.

To add a new project, click the **Add** button (1).

Enter the required information and click **Save** (2).

A confirmation message is displayed. Click **Yes** to copy the amounts to page 8 'Amounts' (3).



If you agree to automatically copying the entered amounts to page 8 'Amounts', the amounts are automatically updated in page 8, if you change them in page 4.



Do not enter information in both pages 4 and 5.

You can also edit or delete an added project:

1. Click on the project that you want to edit/delete. The project is displayed.
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the project from the request.



Cancel editing the project.

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Project

4.1 Project

4.1.1 Project - name

4.1.2 Project - number

4.1.4 Amount of expenditure (EU-share)

No record(s)

Add

1

* 4.1.1 Project - name

Select a value

4.1.2 Project - number

Select a value

4.1.3 Co-financing
rate %

Financial impact

	EU-share	National-share	Public contribution	Private-share	Total
4.1.4 Amount of expenditure	<input type="text"/>	+ <input type="text"/>	= <input type="text"/>	+ <input type="text"/>	= <input type="text"/>
4.1.5 Amount of irregularity	<input type="text"/>	+ <input type="text"/>	= <input type="text"/>		

4.1.5 Amount of
irregularity

2

Save

Cancel

☑ Please confirm

Do you want the amounts entered here to be copied to the corresponding fields on page 8. Amounts?

3

Yes

No

4.1.1 Project - name

Enter the official, complete name of the project. You can also add a short description of the project.

4.1.2 Project - number

Enter the official number of the project.

4.1.3 Co-financing rate

Enter the officially agreed rate. This rate may differ from the rate that has been applied. Nevertheless, you need to indicate the official rate.

The official rate can be found in SFC2007 or SFC2014. SFC is the system for fund management in the European Community. It manages the electronic exchange of information between member states and the European Commission, concerning shared fund management as described in the applicable regulations.

Section - Financial Impact

4.1.4 Amount of expenditure

Enter the amount of the expenditure per project, split up into the EU-share, the national-share and the private-share.

The public contribution equals the EU-share and the national-share.

The EU-share, national-share and private share together add up to the 'total'.

4.1.5 Amount of irregularity

Add the amount of the irregularity per project, split up into EU-share, national-share and private-share.

The public contribution is the sum of the EU-share and the national-share.

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Project

4.1 Project

4.1.1 Project - name	4.1.2 Project - number	4.1.4 Amount of expenditure (EU-share)
----------------------	------------------------	--

No record(s)

Add

	EU-share	National-share	Public contribution	Private-share	Total
4.2 Total amount of expenditure	+		=	+	=
4.3 Total amount of irregularity	+		=		

4.4 Control carried out before or after payment

Select a value

Save as draft

Finalise

Cancel

4.2. Total amount of expenditure

IMS generates the amounts based on the information provided in field 4.1.4. Amount of expenditure.

For example: if 5 projects were added, the total expenditure is the sum of these 5 projects.

4.3. Total amount of irregularity

IMS generates the amounts based on the information provided in field 4.1.5. Amount of irregularity.

For example: if 5 projects were added, the total irregular amount is the sum of these 5 projects..



This amount should not include interests, fines and penalties.

4.4 Control carried out before or after payment

If a control was carried out before or after payment, select it from this drop-down list.



The value that you select here, is copied to page 7 Detection.

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Agriculture

5.1 Budget line

5.1.1 Budget year 5.1.2 Budget line 5.1.7 Amount of expenditure (EU-share)

No record(s)

Add

1

	EU-share	National-share	Public contribution	Private-share	Total
5.2 Total amount of expenditure	+		=	+	=
5.3 Total amount of irregularity	+		=		
5.4 Control carried out before or after payment	Select a value				

Save as draft

Finalise

Cancel

* 5.1.1 Budget year

Select a value

5.1.2 Budget line

5.1.3 Budget post

5.1.4 Budget article

5.1.5 Budget measure

5.1.6 Product

Select a value

2

Financial impact

	EU-share	National-share	Public contribution	Private-share	Total
5.1.7 Amount of expenditure	<input type="text"/>	+	<input type="text"/>	=	<input type="text"/>
5.1.8 Amount of irregularity	<input type="text"/>	+	<input type="text"/>	=	<input type="text"/>

3

Save

Cancel

Figure 10: Page 5 Operation - Specific - Agriculture

4.6.2 Page 5: Operation - Specific - Agriculture

This page contains information concerning budget lines for agriculture.

You can add one or more budget lines on this page.

To add a new budget line, click the **Add** button (1).

Enter the required information and click **Save** (2).

A confirmation message is displayed. Click **Yes** to copy the amounts to page 8 'Amounts' (3).



If you agree to automatically copying the entered amounts to page 8 'Amounts', the amounts are automatically updated in page 8 if you change them in page 5.



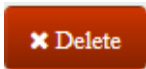
Do not enter information in both pages 4 and 5.

You can also edit or delete an added budget line:

3. Click on the budget line that you want to edit/delete. The budget line is displayed.
4. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the budget line from the request.



Cancel editing the budget line.

5.1 Budget line

All added budget lines are listed in this section. To add a new budget line, click the **Add** button.



The budget lines are based on the DG AGRI-nomenclature. OLAF updates the drop-down list several times per year, but it may occur that the most recent version has not yet been uploaded. In case you miss a budget line, please inform OLAF via your LO.

5.1.1. Budget year

Select the budget year in which the expenditure was charged to the budget from the drop-down list.

The agricultural year runs from the **16th of October year n** until the **15th of October year n+1**.

5.1.2. Budget line

IMS generates the applicable budget lines based on the year selected.



Search for the budget line by adding a minimum of 3 characters of either the budget line code or of its description (e.g. 'Milk').

5.1.3. Budget post

The value displayed, is based on information entered in the previous fields.

5.1.4. Budget article

The value displayed, is based on information entered in the previous fields.

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Currency : EUR

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Agriculture

5.1 Budget line

5.1.1 Budget year	5.1.2 Budget line	5.1.7 Amount of expenditure (EU-share)
-------------------	-------------------	--

No record(s)

Add

1

	EU-share	National-share	Public contribution	Private-share	Total
5.2 Total amount of expenditure	+	=		+	=
5.3 Total amount of irregularity	+	=			
5.4 Control carried out before or after payment	Select a value				

Save as draft

Finalise

Cancel

* 5.1.1 Budget year

Select a value

5.1.2 Budget line

5.1.3 Budget post

5.1.4 Budget article

5.1.5 Budget measure

5.1.6 Product

Select a value

2

Financial impact

	EU-share	National-share	Public contribution	Private-share	Total
5.1.7 Amount of expenditure	<input type="text"/>	+	<input type="text"/>	=	<input type="text"/>
5.1.8 Amount of irregularity	<input type="text"/>	+	<input type="text"/>	=	<input type="text"/>

3

Save

Cancel

5.1.5 Budget measure

The value displayed, is based on information entered in the previous fields.

5.1.6. Product

Select the applicable value from the drop-down list. The list is based on the CN-code (Combined Nomenclature).

Select the code **0000** (=not applicable) if the support measure does not concern a specific product.

Section - Financial impact

This sub section contains detailed information on the financial impact of the irregularity.

To have a correct relation between the expenditure and the irregular amount, the financial impact must be indicated per support measure.



You must enter all amounts manually. In case of 'calculation errors', IMS will display a warning message, but will not block the reporting. You must take care not to enter non-matching calculations. IMS does not do all the calculations automatically.

5.1..7. Amount of expenditure

Enter the total amount of the expenditure distributed over EU-share, national-share and private share.

- The public contribution equals the EU-share and the national-share.
- The EU-share, the national-share and the private share add up to the 'total'.

5.1..8. Amount of irregularity

Enter the irregular amount relating to the expenditure as indicated in the previous field.

The EU-share and national-share add up to the public contribution.



This amount should not include interests, fines and penalties.

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Agriculture

5.1 Budget line

5.1.1 Budget year	5.1.2 Budget line	5.1.7 Amount of expenditure (EU-share)
-------------------	-------------------	--

No record(s)

[Add](#)

	EU-share	National-share	Public contribution	Private-share	Total
5.2 Total amount of expenditure	+	=		+	=
5.3 Total amount of irregularity	+	=			

5.4 Control carried out before or after payment

Select a value

[Save as draft](#)[Finalise](#)[Cancel](#)

5.2. Total amount of expenditure

IMS generates the amounts based on the information entered in field 5.1.7. Amount of expenditure.

For example: if 5 budget lines were added, the total expenditure is the sum of these 5 budget lines.

5.3. Total amount of irregularity

IMS generates the amounts based on the information entered in field 5.1.8. Amount of irregularity.

For example: if 5 budget lines were added, the total amount of irregularity is the sum of these 5 budget lines.


5.4 Control carried out before or after payment

If a control was carried out before or after payment, select it from this drop-down list.



The value that you select here, is copied to page 7 Detection.

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REQUEST TO CREATE A CASE:

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Information leading to a suspicion of an irregularity

6.1 Date

 07/12/2014

6.2 Source

International Herald Tribune

226

Provisions infringed

6.3 Provisions - EU

6.3.1 Type	6.3.2 Number	6.3.3 Year	6.3.4 Article and paragraph
------------	--------------	------------	-----------------------------

No record(s)

Add

6.4 Provisions - national

2000

Other states involved

6.5 Member State(s)

Select value(s)

6.6 Non-Member State(s)

Select value(s)

Specific information on the irregularity

6.7 Irregularity committed on / between

6.7.1 From



6.7.2 To



6.8 Type of irregularity

6.8.1 Category

6.8.2 Type

No record(s)

Add

6.9 Modus operandi

4000

6.10 Statement of persons involved

6.11 Findings of the administration

2000

2000

6.12 Classification of the irregularity

Select a value

Save as draft

Finalise

Cancel

Figure 11: Page 6 Irregularity

4.7 Page 6: Irregularity

This page contains information on the irregularity itself. The first part of the page contains more general information. The second part provides answers to questions such as who, what, where, why and when.


Section - Information leading to a suspicion of an irregularity

This section contains information that led to the discovery of an irregularity.

Example:

On the 7th of December 2014 you read in the International Herald Tribune that EU-subsidies were obtained by a person who is absolutely not eligible for support. Official documents were modified in order to mislead civil servants.

6.1. Date

Select from the calendar the date when the information was received, that led to the suspicion that an irregularity had been committed (click ).

Example:

The date when the article was read in the International Herald Tribune should be added: 07/12/2014

6.2. Source

Enter the source of the information that led to the suspicion that an irregularity was committed.

Example:

The source of your information is: the International Herald Tribune.

Section - Provisions infringed

You can add one or more provisions infringed in this section.

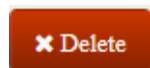
Click the **Add** button to start adding a new provision infringed. Enter all the necessary information and click the **Save** button to add the provision infringed to the request. Alternatively, click **Cancel** to stop. You must click one of these buttons to continue.

You can also edit or delete an added provision infringed:

1. Click on the provision infringed that you want to edit/delete. The provision infringed is displayed.
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the provision infringed from the request.



Cancel editing the provision infringed.

Provisions infringed

6.3 Provisions - EU

6.3.1 Type	6.3.2 Number	6.3.3 Year	6.3.4 Article and paragraph
------------	--------------	------------	-----------------------------

No record(s)

Add

6.4 Provisions - national

2000

Provisions infringed

6.3 Provisions - EU

6.3.1 Type	6.3.2 Number	6.3.3 Year	6.3.4 Article and paragraph
------------	--------------	------------	-----------------------------

No record(s)

6.3.1 Type

Select a value

6.3.2 Number

6.3.3 Year

6.3.4 Article and paragraph

Save**Cancel**

Provisions infringed

6.3 Provisions - EU

6.3.1 Type	6.3.2 Number	6.3.3 Year	6.3.4 Article and paragraph
Directive	65	1999	art. 5
Agreement	78	2001	art. 3
Decision	45	2001	art. 45
Regulation	12	2002	art. 6(2)

Showing 1 to 4 of 4
record(s)

Page size 10

« < 1 > »

Add

6.4 Provisions - national

National Law on Granting and Winding up EU-subsidies - art. 13(2)

1935

6.3 Provisions – EU

All added provisions infringed are listed in this section. To add a new provision infringed, click the **Add** button.

In the example on the left, 4 different types of provisions infringed have been added.

6.3.1 Type

Select one of the following options from the drop-down list:

- DEC = decision
- DIR = directive
- REG = regulation
- AGR = agreement

6.3.2 Number

Enter the number of the decision, directive, regulation or agreement concerned.

Example: in case of an infringement of Reg. 12/2002, enter '**12**'.

6.3.3 Year

Enter the year of the decision, directive, regulation or agreement concerned.

Example: in case of an infringement of Reg. 12/2002 enter '**2002**'.

6.3.4 Article and paragraph

Enter the article and paragraph of the provisions infringed.

In this example: '**art. 6(2)**' (article 6 and paragraph 2) has been entered.

6.4 Provisions - national

Enter, if applicable, the national provisions infringed.

In this example, the following text was entered:

'National law on Granting and Winding up EU-subsidies – art. 13(2)'

Other states involved

Open the drop-down list.

6.5 Member State(s)

Select value(s)

1

6.6 Non-Member State(s)

Select value(s)

6.5 Member State(s)

Select value(s)

Select All

Remove All

X Close

Search...

- ☐ AT Austria
- ☐ BE Belgium
- ☐ BG Bulgaria
- ☐ CY Cyprus
- ☐ CZ Czech Republic

2 Tick the check boxes to select countries.

6.5 Member State(s)

CZ Czech Republic

NL Netherlands

Select All

Remove All

X Close

Search...

- ☐ IE Ireland
- ☐ IT Italy
- ☐ LT Lithuania
- ☐ LU Luxembourg
- ☐ LV Latvia
- ☒ NL Netherlands

3 When you've added the countries, click the Close button.

Other states involved

6.5 Member State(s)

CZ Czech Republic

NL Netherlands

4 The countries are added to the request.

5 To remove added countries, click the drop down list.

6.5 Member State(s)

CZ Czech Republic

NL Netherlands

Select All

Remove All

X Close

Search...

☐ MT Malta☒ NL Netherlands

6 Untick the countries that you want to remove, or click 'Remove all'.

Section - Other states involved

This section contains information about other countries involved (member states and non-member states).

Simple examples of other countries involved are the destination country of export products or other countries involved in cross border programmes.

More often than not, no other countries are involved in the case. If this happens, you can just skip this section and leave the field empty.

You can add countries by selecting them from the drop-down lists. (see image on the left).

6.5. Member States

You can add other member state(s) involved here.

In this example, the following member states have been added:

CZ Czech Republic

NL Netherlands

6.6. Non-Member State(s)

You can add the non-member state(s) involved here.

In this example, the following countries have been added:



C008 Albania

C024 Angola

C031 Azerbaijan



To remove added countries, open the drop down list and untick the selected countries or click

Remove all (see image on the left  and .

Specific information on the irregularity

6.7 Irregularity committed on / between

6.7.1 From



01/01/2013

6.7.2 To



31/12/2013

6.8 Type of irregularity

6.8.1 Category

6.8.2 Type

No record(s)

6.9 Modus operandi

6.10 Statement of persons involved

6.11 Findings of the administration

6.12 Classification of the irregularity

Select a value

6.8.1 Category

6.8.2 Type

No record(s)

6.8.1 Category

T11 Request



6.8.2 Type

T11/01 False or falsified request for aid

6.8.3 Type of irregularity

T11 - T11/01

6.8 Type of irregularity

6.8.1 Category	6.8.2 Type
Request	T11/01
Beneficiary	T12/01

Showing 1 to 2 of 2 record(s)

Page size 10

Section - Specific information on the irregularity

This section contains more specific information on the irregularity.

6.7 Irregularity committed on / between

Select the date or period when the irregularity was committed.

If the irregularity started and ended on the same day, you only need to add the date in field 6.7.1. From.



If the exact start and/or end day are not known, select the first day and/or the last day of the month. You may not select dates that are in the future.

Example:

An irregularity took place in 2003. the following dates were added: 01/01/2003 – 31/12/2003

6.8. Type of irregularity

Add the type(s) of irregularity. The types of irregularity have been grouped into main categories.

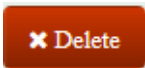
Click the **Add** button to start adding a type of irregularity. Enter all the necessary information and click the **Save** button to add the type of irregularity to the request. Alternatively, click **Cancel** to stop. You must click one of these buttons to continue.

You can also edit or delete an added type of irregularity:

1. Click on the type of irregularity that you want to edit/delete. The type of irregularity is displayed.
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the type of irregularity from the request.



Cancel editing the type of irregularity.

Example:

The following 2 types of irregularity were added:

- Request / false of falsified request for aid
- Beneficiary / non-existent operator or beneficiary

Specific information on the irregularity

6.7 Irregularity committed on / between

6.7.1 From



01/01/2013

6.7.2 To



31/12/2013

6.8 Type of irregularity

6.8.1 Category

6.8.2 Type

No record(s)

6.9 Modus operandi

6.10 Statement of persons involved

6.11 Findings of the administration

6.12 Classification of the irregularity

Select a value

6.8.1 Category

6.8.2 Type

No record(s)

6.8.1 Category

T11 Request



6.8.2 Type

T11/01 False or falsified request for aid

6.8.3 Type of irregularity

T11 - T11/01

6.8 Type of irregularity

6.8.1 Category	6.8.2 Type
Request	T11/01
Beneficiary	T12/01

Showing 1 to 2 of 2 record(s) Page size 10 << < 1 > >>

6.8.1. Category

The types of irregularity have been grouped into several categories. Select a category from the list.

Example:

The category 'Request' was selected.

6.8.2. Type

Select one or several values from the drop-down list (tick the check boxes). The list is based on the item selected in field '6.8.1.Category'.

Example:

The selected type is:

- false or falsified request for aid

6.8.3. Type of irregularity

IMS displays the selected type(s) of irregularity. These values are automatically generated based on the values entered in the fields 'Category' and 'Type'.

6.9. Modus operandi

Describe the practices employed in committing the irregularity, the modus operandi (MO).

A more in depth description of the applied modus operandi will improve the analyses performed by analysts of OLAF, member states and candidate countries. See the image on the left.

6.10. Statement of persons involved

It is common practice for a person involved to be requested to give a reaction to the findings of an authority (principle of audi alteram partem). Enter any reaction of the person involved, in this field. See the image on the left.

6.11. Findings of the administration

Enter the findings of the authority after having heard the person(s) involved (see field 6.10.) in this field. See the image on the left.

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Add

6.9 Modus operandi

An imaginary natural person was indicated on the form to apply for EU-subsidies. By handing over modified documents such as for instance an identification card which was 'fine tuned' to fulfil the conditions under which EU-support can be obtained, the impression was given that the person existed. See the attachments for more details.

3664

6.10 Statement of persons involved

I was advised to do so because everybody is doing it.

1947

6.11 Findings of the administration

The support per beneficiary is relatively low which implies that no or almost no controls and checks are performed. The sector is aware of that and makes use of it by applying en mass for support.

1804

6.12 Classification of the irregularity

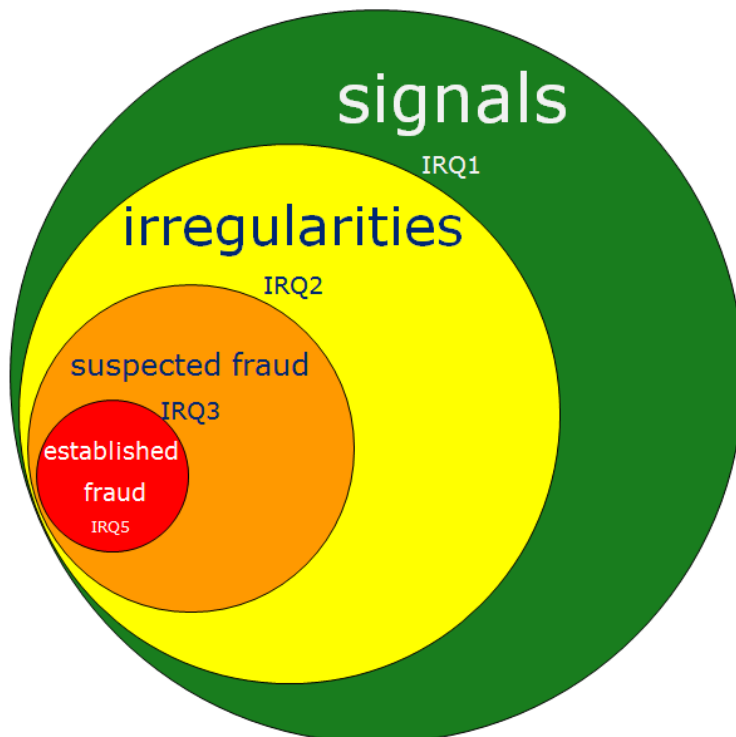
IRQ3 Suspected fraud

x

6.12 Classification of the irregularity

IRQ3 Suspected fraud

x



Search...

SIG Signal

IRQ2 Irregularity

IRQ3 Suspected fraud

IRQ5 Established fraud

IRQ3 Suspected fraud

6.12. Classification of the irregularity

Select a classification for the irregularity from the drop-down list.

SIG = signal

IRQ2 = irregularity

IRQ3 = suspected fraud

IRQ5 = established fraud

Example:

The case has been classified as 'suspected fraud' based on the applied modus operandi and the statement made by the person involved.

SIG = signal

The signal is a request that is meant to indicate that there are signals of an irregularity, but that these signals are not yet a suspicion. This signal is not sent to Olaf but remains on the national level. When there is enough information and a case should be created from the signal, the signal request is rejected and an initial request of the type IRQ2, IRQ3 is created and sent to OLAF.

Ad IRQ2 = irregularity in sense of Reg. 2988/95

You should classify the case as 'Irregularity' if it was committed unintentionally.

Ad IRQ3 = suspected fraud

You should classify the case as 'Suspected Fraud' if the irregularity was committed intentionally. For example: all types of irregularity in which the word 'false' or 'falsified' are used, such as 'false or falsified documents'.

Ad IRQ5 = established fraud

You should classify the case as 'Established Fraud' when the fraud has been proven in court, i.e. there must be a court decision.



Suspected fraud is a subset of the 'irregularities' collection. Established fraud is a subset of the 'Suspect fraud' collection.



All frauds are irregularities but not all irregularities are fraud!

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10 Sanctions

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Control

7.1 Date of discovery (PACA)

05/01/2005

7.2 Reason for performing a control (why)

D4001

Information published in the media

7.3 Type and/or method of control (how)

D5001

Control of accounts

7.4 Control carried out before or after payment

P2

After payment

7.5 Competent authority

Committee for Inquiry and Audit

1969

OLAF investigation

7.6 OLAF investigation

I

7.7 OLAF number

OF

2014

0001

Save as draft

Finalise

Cancel

Figure 12: Page 7 Detection

AFIS-IMS-UserManual.docx
Version: 4.2 / State: Draft / Release date: 26/10/2015

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4.8 Page 7: Detection

This page provides information on how the irregularity was detected.

Section - Control

This section contains information on the controls carried out by the competent authorities.

7.1. Date of discovery (PACA)

Select the date when the irregularity was discovered.

PACA (**P**remier **A**cte de **C**onstat **A**ministratif) is the first written assessment of a competent authority, either administrative or judicial which concludes that an irregularity has been committed. This conclusion is based on actual facts and is not influenced by the possibility that this conclusion may subsequently have to be adjusted or withdrawn as a result of developments in the course of the administrative or judicial procedure.

Example:

The International Herald Tribune was read on the 7th of December 2004. An audit was performed at the beginning of January 2005. The findings were put in an audit report on the 5th of January 2005.

7.2. Reason for performing a control (why)

Select the reason(s) for carrying out a control. Why was a control carried out, was there a legal obligation or did a tip trigger the control?

The drop-down list contains a summary of available options. This could be for instance a tip off, a routine check or a request from another country. You can select more than 1 value.

Example:

The article in the International Herald Tribune was the reason for performing an audit, thus 'information published in the media' was selected.

7.3. Type and/or method of control (how)

Select the type of control and/or the method used to perform the check. How was the control carried out?

The drop-down list contains a number of options. You can select more than 1 value.

Example:

The accounts of the person involved and the documents which were used to apply for support were checked on the premises.

7.4. Control carried out before or after payment

You need to indicate if the control was carried out:

- before payment
- after payment
- before as well as after payment

If you entered the control carried out in page 4 or 5, it is automatically copied here.



If you change the control carried out in this field, a warning message will be displayed to alert you to the fact that **'If you change the value for control here, it may be inconsistent with the value selected on the Operation page'**.

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- 11 Comments

Control

7.1 Date of discovery (PACA)

 05/01/2005

7.2 Reason for performing a control (why)

D4001 Information published in the media

7.3 Type and/or method of control (how)

D5001 Control of accounts

7.4 Control carried out before or after payment

P2 After payment

7.5 Competent authority

Committee for Inquiry and Audit

1969

OLAF investigation

7.6 OLAF investigation

I

7.7 OLAF number

OF

2014

x

0001

[Save as draft](#)[Finalise](#)[Cancel](#)

7.5. Competent authority

Enter the authority that detected the irregularity.

Example:

The CIA (Committee for Inquiry and Audit) performed the audit.

7.5. Competent authority

Enter the name of the competent authority (for instance a Managing Authority (MA) or of a Paying Agency (PA)).


Section - OLAF investigation

OLAF informs national authorities on investigations started. If OLAF launched an investigation, then this section contains basic information about that investigation. If no OLAF-investigation was launched, you can skip this section.

7.6. OLAF investigation

Click this button if OLAF launched an investigation for this case (set to ).

Example:

In this example an investigation was launched (.

7.7. OLAF number

Enter the number of the OLAF-investigation. The OLAF-number consists of 3 parts:

reference: IMS adds the code OF by default. You cannot change this code.

year : select a year from the drop-down list.

sequence number: enter the unique sequence number of the case (four digits). If you enter less than 4 digits one or more zero's are automatically added in front of the number. For example, if you enter '12', the number will automatically be changed to '0012'.

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Financial impact

	EU-share	National-share	Public contribution	Private-share	Total
8.1 Amount of expenditure	854.500,00	+	145.500,00	=	1.000.000,00
				+	250.000,00
				=	1.250.000,00
8.2 Amount of irregularity	427.250,00	+	72.750,00	=	500.000,00
8.2.1 whereof not paid	341.800,00	+	58.200,00	=	400.000,00
8.2.2 whereof paid	85.450,00	+	14.550,00	=	100.000,00
8.3 Amount to recover	85.450,00	+	14.550,00	=	100.000,00
8.4 Decertified	<input type="text"/> <input type="text"/> 0				
8.5 Comments	<input type="text"/>				

2000

Save as draft

Finalise

Cancel

Figure 13: Page 8 Amounts

4.9 Page 8: Amounts

Section - Financial impact

This section contains detailed information on the financial impact. Expenditure and irregular amounts are indicated and split up into public contribution (EU-share and national-share) and private share.



You need to enter all amounts. In case of 'calculation errors', IMS will give a warning but will not block the reporting. In other words, you can enter calculations that do not match. IMS does not do all calculations automatically.

Warning: The Public contribution should be equal to the sum of the EU-share and the National-share



If you agreed to automatically copy the amounts from either page 4 'Operation-Specific-Project' or from page 5 'Operation-Specific-Agriculture', IMS adds them here. When you go to page 4 or page 5 and change the amounts entered, they are automatically updated in page 8. However, if you change the amounts in page 8, they will **not** be updated in page 4 or page 5.



Be aware that the amounts should not include interests, fines and penalties.

See the image on the left for an example of entered amounts.

8.1. Amount of expenditure

Enter the total amount of the expenditure, split up into EU-share, national-share and private-share.

The public contribution is the sum of the The EU-share and national-share.

The total expenditure is the sum of the EU-share, the national-share and the private share.

8.2. Amount of irregularity

Enter the amount of the irregularity, split up into EU-share and national-share.



Be aware that it is not relevant if the amount has been paid or not. You need to provide information on the actual financial impact (amount paid out) and the potential financial impact (amount not paid out thanks to early discovery).



If repayments are made through an installment agreement, the amounts entered in fields 8.2., 8.2.1 and 8.2.2. remain the same. Repayment itself has no impact on the amount of the irregularity; only the outstanding amount is reduced. This information can be processed on page 9 Recovery.

8.2.1. whereof not paid

Enter the amount that was not paid out as a result of detection before payment. The amount needs to be split up into EU-share and national-share.

8.2.2. whereof paid

Enter the amount that was paid out and consequently needs to be recovered. The amount needs to be split up into EU-share and national-share.

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Financial impact

	EU-share		National-share		Public contribution		Private-share		Total
8.1 Amount of expenditure	854.500,00	+	145.500,00	=	1.000.000,00	+	250.000,00	=	1.250.000,00
8.2 Amount of irregularity	427.250,00	+	72.750,00	=	500.000,00				
8.2.1 whereof not paid	341.800,00	+	58.200,00	=	400.000,00				
8.2.2 whereof paid	85.450,00	+	14.550,00	=	100.000,00				
8.3 Amount to recover	85.450,00	+	14.550,00	=	100.000,00				
8.4 Decertified	<input type="text"/> <input type="text"/> 0								
8.5 Comments	<input type="text"/>								

2000

Save as draft

Finalise


Cancel

8.3. Amount to recover

Enter the amount that needs to be recovered. The amount needs to be split up into EU-share and national-share.

This amount should be equal to the amount indicated in the previous field (8.2.2. Whereof amount paid).

8.4. Decertified

Click this button if the irregular project has been excluded from EU support (set to ).



Be aware that the decision about the exclusion from expenditure certified to the EC can also happen once a country takes the entire risk of recovery on the national budget.

8.5. Comments

Add an explanation about the decertification and its impact (see field 8.5.)

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REQUEST TO CREATE A CASE:

Reference number - OLAF : / BE / BE-CA / 2015 /

1 Identification
2 Personal data
3 Operation - general
4 Operation - Specific - Project
5 Operation - Specific - Agric
6 Irregularity
7 Detection
8 Amounts
9 Recovery
10 Sanctions
11 Comments

Recovery

9.1 Start date of procedure

9.2 Expected end date of procedure

	EU-share	National-share	Public contribution
9.3 Amount to recover	85.450,00	14.550,00	100.000,00
9.4 Amount deducted during interim or final payment	0,00	0,00	0,00
9.5 Amount recovered	68.360,00	11.640,00	80.000,00
9.6 Balance to recover	17.090,00	2.910,00	20.000,00
9.7 Amount repaid to the EU budget	0,00		
9.8 Amount retained by the country	0,00		
9.9 Amount of interest charged	15.000,00		

9.10 Recovery procedures already launched
4 July 2007 : recovery order has been sent to person involved
1939

9.11 Recovery measures already taken
1 August 2007: bank guarantee was provided by the person involved.
1934

9.12 End date of procedure

[Save as draft](#)
[Finalise](#)
[Cancel](#)

Figure 14: Page 9 Recovery

4.10 Page 9: Recovery

This page contains detailed information on the recovery. It is used for all funds although for several funds there is no obligation to provide information on the recovery itself. At the request of countries that use IMS for national purposes as well, this page is used for all funds.



The amounts should not include interests, fines and penalties. Interests can be entered in field 9.9. You can enter fines and penalties on page 10.

See the image on the left for an example.

the relation between the amount fields on this page are as follows:

- Amount to recover (EU-share) – Amount deducted during interim or final payment (EU-share) – Amount recovered (EU-share) = Balance to recover (EU-share).
- Amount to recover (National-share) – Amount deducted during interim or final payment (National-share) – Amount recovered (National-share) = Balance to recover (National-share).
- Amount to recover (Public contribution) – Amount deducted during interim or final payment (Public contribution) – Amount recovered (Public contribution) = Balance to recover (Public contribution).
-

9.1. Start date of procedure

Select the date when the recovery procedure started.

If the exact date is not known, select the first day of the month or year during which the procedure started.

9.2. Expected end date of procedure

Select the date when the recovery procedure is expected to be completed.



Be aware that the end date must be equal to or later than the start date of the procedure.

9.3. Amount to recover

IMS automatically transfers the values entered in field 8.3. 'Amount to recover'.



This field is not editable. If you want to change the amounts entered, you need to change the amounts that you entered on page 4 or page 5.

9.4. Amount deducted during interim or final payment

Enter the amounts that have been compensated during interim or final payments, split up into EU-share and national-share.

9.5. Amount recovered

Enter the amounts recovered, split up into EU-share and national-share.

9.6. Balance to recover

Enter the amounts that still need to be recovered (outstanding debt), split up into EU-share and national-share.

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REQUEST TO CREATE A CASE:

Reference number - OLAF : / BE / BE-CA / 2015 /

1 Identification

2 Personal data

3 Operation - general

4 Operation - Specific - Project

5 Operation - Specific - Agric

6 Irregularity

7 Detection

8 Amounts

9 Recovery

10 Sanctions

11 Comments

Recovery

9.1 Start date of procedure



04/07/2007

9.2 Expected end date of procedure



31/12/2017

EU-share

National-share

Public contribution

9.3 Amount to recover

85.450,00

+

14.550,00

=

100.000,00

9.4 Amount deducted during interim or final payment

0,00

+

0,00

=

0,00

9.5 Amount recovered

68.360,00

+

11.640,00

=

80.000,00

=

=

=

9.6 Balance to recover

17.090,00

+

2.910,00

=

20.000,00

9.7 Amount repaid to the EU budget

0,00

9.8 Amount retained by the country

0,00

9.9 Amount of interest charged

15.000,00

9.10 Recovery procedures already launched

4 July 2007 : recovery order has been sent to person involved

1939

9.11 Recovery measures already taken

1 August 2007: bank guarantee was provided by the person involved.

1934

9.12 End date of procedure



Save as draft

Finalise

Cancel

9.7. Amount repaid to the EU-budget

Enter the amounts transferred back to the EU-budget.

9.8. Amount retained by the country

Enter the amounts retained by your country. For some funds a country can retain a percentage of the recovered amounts, if specific conditions are fulfilled.

9.9. Amount of interest charged

Enter the interests charged.

9.10. Recovery procedures already launched

Enter the procedures already launched for recovering the unduly paid amounts.

Example:

The date when the recovery order was sent to the person involved was provided.

9.11. Recovery measures already taken

Enter the measures taken to recover the unduly paid amounts, such as a bank guarantee.

Example:

Information on a bank guarantee was provided.

9.12. End date of procedure

Select the date when the recovery procedures were completed.



Be aware that the end date must be equal to or later than the start date of the procedure.

Home Cases **Requests** Search Export / Import status **My info**

REQUEST TO CREATE A CASE:
 Reference number - OLAF : ERDF / BE / 512 / 2014 /
 Programming period : 2014-2020
 Currency : EUR

1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation - Specific - Agriculture
 6 Irregularity 7 Detection 8 Amounts 9 Recovery **10 Sanctions** 11 Comments

Procedures

10.1 Procedures initiated to impose penalties
 SP4 Decision: sanction imposed x ▼

10.2 Type of procedure
 PEN Penal x ▼

10.3 Start date of procedure
 04/07/2014

10.4 Expected end date of procedure
 31/12/2016

10.5 Status of procedure
 COMP Completed x ▼

Sanctions

10.6 Sanctions

10.6.1 Category	10.6.2 Type
Penal	Imprisonment over 4 years

Showing 1 to 1 of 1 record(s) Page size 10 << < 1 > >>

Add

10.7 End date of procedure
 15/12/2013

Save as draft Finalise Cancel

Figure 15: Page 10 Sanctions

4.11 Page 10: Sanctions

This page contains all information on the sanctions.

Section - Procedures

This section contains information on the procedures initiated to impose penalties.

10.1. Procedures initiated to impose penalties

Indicate if procedures to impose penalties have been initiated. Select a value from the drop-down list:

- SP1 no decision yet
- SP2 decision: no sanction
- SP3 decision: sanction will be imposed but awaiting type of sanction(s)
- SP4 decision: sanction imposed




You must always enter a value in this field!

10.2. Type of procedure


Select the type of procedure that has been initiated. The following options are available:

- ADM administrative
- PEN penal
- PXX administrative as well as penal

10.3. Start date of procedure

Select the date when the procedure was initiated using the calendar (click ).

10.4. Expected end date of procedure

Select the expected end date of the procedure using the calendar (click ).



Be aware that the expected end date should be equal to or after the start date of the procedure.

10.5. Status of procedure

Select the status of the procedure from the drop-down list:

- INIT Initiated
- COMP Completed
- ABAN Abandoned

Sanctions**10.6 Sanctions****10.6.1 Category**

Penal

10.6.2 Type

Imprisonment over 4 years

Showing 1 to 1 of 1 record(s)

Page size 10

<< < 1 > >>

Add**10.7 End date of procedure**

15/12/2013

Save as draft**Finalise****Cancel****Sanctions****10.6 Sanctions****10.6.1 Category**

Penal

10.6.2 Type

Imprisonment over 4 years

Showing 1 to 1 of 1 record(s)

Page size 10

<< < 1 > >>

10.6.1 Category

Select a value

10.6.2 Type

Select a value

10.6.3 Sanctions applied**10.6.4 Fines applied****Save****Cancel**

Section - Sanctions

This section contains detailed information on the sanctions imposed. You can add one or more sanctions here.

10.6. Sanctions

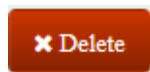
Click the **Add** button to start adding a sanction. Enter all the necessary information and click the **Save** button to add the sanction to the request. Alternatively, click **Cancel** to stop. You must click one of these buttons to continue.

You can also edit or delete an added sanction:

1. Click on the sanction that you want to edit/delete. The sanction is displayed.
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the sanction from the request



Cancel editing the sanction.

10.6.1. Category

Select one of the two following categories from the drop-down list:

- S1 administrative
- S5 penal

10.6.2. Type

Select a type of sanction from the drop-down list. The available values depend on the values selected in the previous field.

After you have selected the type of sanction, click the **Add** button to save the information.

If you want to add more sanctions, repeat the above steps.

10.6.3. Sanctions applied

IMS automatically generates the full description of the sanction applied, based on the values entered in fields 10.6.1 Category and 10.6.2 Type.

10.6.4. Fines applied

Enter the amount(s) of the fines imposed.

10.7. End date of procedure

Select the end date of the procedure(s).



Be aware that the end date must be equal to or later than the start date of the procedure.

IMS

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Irregularity Management System

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REQUEST TO CREATE A CASE:

Reference number - OLAF : ERDF / BE / 5I2 / 2014 /

Programming period : 2014-2020

Currency : EUR

1 Identification

2 Personal data

3 Operation- general

4 Operation - Specific - Project

5 Operation - Specific - Agriculture

6 Irregularity

7 Detection

8 Amounts

9 Recovery

10 Sanctions

11 Comments

Comments

11.1 Comments - Initiating authority

- The procedures are progressing faster than expected.

- In the attached documents more information can be found on the practices employed, especially on the role of the external consultant.

31810

11.2 Comments - OLAF

32000

Attachments

11.3 Attachments

+ Add files...

Save as draft

Finalise

Cancel

Attachments

11.3 Attachments

+ Add files...

attachment.txt

Delete

Figure 16: Page 11 Comments

AFIS-IMS-UserManual.docx
Version: 4.2 / State: Draft / Release date: 26/10/2015

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4.12 Page 11: Comments

Section - Comments

This section contains information that could not be entered in one of the previous pages.

11.1. Comments - initiating authority

You can enter additional information concerning the case. You can for instance use this field to explain why you added attachments to this request, or to describe the added attachments.

11.2. Comments – OLAF

OLAF can provide comments or feedback on the case in this field. For example, if OLAF amends a case, the reason why an amendment was made, is described in this field.

Section - Attachments

This section contains attachments that have been uploaded by the request creator.

11.3. Attachments

You can attach additional documents or files.

Click the  button to select a file and attach it to the request.

Once a file is attached you can view or remove it as long as the request is still a draft. To delete an attachment, click the **Delete** button. To view the attachment, click the filename.

The format of the attachment is not relevant. The maximum number of files to be attached is 10, with a maximum of 5 MB per file.

After you have entered all the necessary information, you can click **Finalise** (or **Send** if you have manager rights) the request or Save it as a draft (**Save as draft**). The Request will only be finalised/sent/saved as a draft if it is valid. For more information see chapter 5 Validation.

5. Validation

The screenshot illustrates the validation process for creating a case in the IMS. It shows a sequence of steps:

- Step 1:** The user clicks the **Finalise** button. This action triggers a validation check.
- Validation Failed:** A message box appears stating "Validation failed".
- Form Details:** The main form is titled "REQUEST TO CREATE A CASE:". It includes the following information:
 - Reference number - OLAF : ERDF / BE / 5I2 / 2014 /
 - Programming period : 2014-2020
 - Currency : EURThe form is divided into sections: 1 Identification, 2 Personal data, 3 Operation-general, 4 Operational, 6 Irregularity, 7 Detection, 8 Amounts, 9 Recovery, and 10 Sanctions. The **Identification** section is currently active and shows two required fields:
 - * 1.1 Fund:** A dropdown menu with the text "Select a value". Below it, a red error message states "You must select a fund".
 - * 1.3 Programming period:** A dropdown menu with the text "Select a value". Below it, a red error message states "You must select a programming period".
- Step 4:** The user clicks the **Finalise** button again, which is highlighted with a blue border.

Figure 17: Validate and finalise

You can only finalise a request or save it as a draft when it is valid, i.e. no mandatory fields were left blank and all entered information follows the business rules. Also, to finalise a request, the reporting path must be defined

- 1 When you click **Finalise** or **Save as draft** (or **Send** if you have manager rights).
- 2 When there are errors on one of the pages, the number of errors is indicated in the relevant tabs in a red circle (**1 Identification** **2**).

An **error** message is displayed below the mandatory field that was left empty or that contains incorrect information. You must correct the error before you can finalise the request (or send it, depending on your user rights), or save it as a draft.

* **1.1 Fund**

Select a value

You must select a fund

Recovery

9.1 Start date of procedure



09/09/2015

9.2 Expected end date of procedure



08/09/2015

The Expected end date of procedure should be equal to or after the Start date of procedure

- 3 When there are warnings in the request, the number of warnings is indicated in the relevant tabs in an orange circle (**8 Amounts** **1**).

A **warning** message is displayed below the relevant field. You can still finalise the request (or send it, depending on your user rights), or save it as a draft, even if the information entered in the fields is incorrect. You are however advised to correct the field that the warning was generated for.



Warning messages will also be displayed while you are entering information.

Warning: The Public contribution should be equal to the sum of the EU-share and the National-share

- 4 When the request is valid, it will automatically be finalised (or sent depending on your user rights) or saved as a draft, depending on the button that you clicked.

6. Create an Initial Request-Closed Case

The screenshot displays the IMS (Irregularity Management System) interface. The top navigation bar includes 'Home', 'Cases', 'Requests', 'Search', and 'Export / Import status'. Below this, there are filters for 'Incoming (1)', 'Outgoing (0)', 'Finalised (0)', and 'Rejected (0)'. A 'Sent to OLAF (2)' filter is also present. A 'Search' bar is located above the 'List of requests' table. The table has columns for 'Request ID' and 'Reference number'. A red button labeled 'Create request' is visible, with a dropdown menu showing 'Initial request' and 'Initial request - closed case' (highlighted with a yellow box). A blue circle with the number '1' is next to the 'Initial request - closed case' option.

The bottom part of the screenshot shows the 'REQUEST TO CLOSE A CASE:' form. The form has a green header with the title and a reference number: 'Reference number - OLAF : / BE / 512 / 2015 /'. Below the header, there are tabs for 'irregularity.identification', '2 Personal data', '3 Operation - general', '4 Operation - Specific - Proj', '5 Operation - Specific - Agriculture', '6 Irregularity', '7 Detection', '8 Amounts', and '9 Recovery'. The 'irregularity.identification' tab is selected. The form contains the following fields:

- 1.1 Fund**: A dropdown menu with 'Select a value'.
- 1.2 Year**: A dropdown menu with '2015'.
- 1.3 Programming period**: A dropdown menu with 'Select a value'.
- 1.4 Reference number - national**: A text input field.

A blue circle with the number '2' is next to the 'REQUEST TO CLOSE A CASE:' title.

Figure 18: Create closed case request

Depending on the fund, you may create a case that is already closed. Use the 'initial request- closed case' request for this.

To create an initial request for a case that is closed on creation:

- ① On the requests page, select 'Initial request - closed case' from the 'Create request' drop-down list.
- ② The 'Request to close a case' page is displayed. Enter the relevant information and at the bottom of the page, click **Finalise** (or **Send** if you have manager rights).

7. Request to Cancel a Case

Home **Cases** Requests Search Export / Import status **My info**

Open (2) Closed (0) Zero Notification (0) Cancelled (0) Expired (0)

Anonymised (0) All

Search

List of cases

Case ID	Reference number - OLAF	Registration date	Date of last change	Status
80335	EAGF/EAFRD / BE / 5I2 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	Open
80312	EAGF/EAFRD / BE / 5I2 / 2015 / 80312	27/07/2015 11:00:25	27/07/2015 13:54:43	Open

Showing 1 to 2 of 2 cases Page size 20

Update case Close case View history **Cancel case** Print Export Back

REQUEST TO CANCEL A CASE: 80335

Reference number - OLAF : EAGF/EAFRD / BE / 5I2 / 2015 / 80335
 Programming period : 2007-2013
 Currency : EUR
 Request Origin : User Input

1 Identification

Identification

* 1.1 Fund EAGF/EAFRD-European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development

* 1.2 Year 2015

* 1.3 Programming period 2007-2013

1.4 Reference number - national Test defect from bugfest 1

Cancellation reasons

250

Save as draft **Finalise** Cancel

Figure 19: request to cancel a case

Only national users (creator/manager/country officer) can request to cancel a case.


On cancellation, a set of information is removed from the case. The case then gets the 'Cancelled' status.

The following details remain in the cancelled case:

- Case overview
 - Case ID
 - Registration date
 - Date of last change
 - Status
 - Case version
- Identification
 - Reference number - OLAF
 - 1.1 Fund
 - 1.2 Year
 - 1.3 Programming period
 - 1.4 Reference number - national
 - Cancellation reasons

To cancel a case:

- ➊ Go to the 'Cases' page.
- ➋ Open a case that has the 'Open', 'Closed' or 'Expired' status.
- ➌ At the bottom of the page, click the **Cancel case** button.
- ➍ The 'Request to cancel a case' page is displayed.
- ➎ You should enter the reason for cancelling the case in the 'Cancellation Reason' field.

 You can enter a maximum of 250 characters, including spaces.

- ➏ Click **Finalise** or **Save as draft** (or **Send** if you have manager rights). When the request is sent to OLAF, the case is cancelled and the status of the case is set to 'Cancelled'.

8. Request to Update a Case

Home **Cases** Requests Search Export / Import status **My info**

Open (2) Closed (0) Zero Notification (0) Cancelled (0) Expired (0)

? Anonymised (0) All

Search

List of cases

Case ID	Reference number - OLAF	Registration date	Date of last change	Status
80335	EAGF/EAFRD / BE / 512 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	Open
80312	EAGF/EAFRD / BE / 512 / 2015 / 80312	27/07/2015 11:00:25	27/07/2015 13:54:43	Open

Showing 1 to 2 of 2 cases Page size 20

Export

Update case Close case View history Cancel case Print Export Back

Status

1.15 Proceedings

Select value(s)

Save as draft **Finalise** **Cancel**

You can request to update an already existing 'open' case.

All the sections and rules applicable when you create an initial request, are also applicable when you update, close or reopen a case. You may update all fields except **1.1 Fund**, **1.2 Year** and **1.3 Programming period**.

To update a case:

- 1** On the 'Case' page, click the 'Open' tab.
- 2** Click the 'Case ID number' of the case that you want to update.
- 3** The case is displayed. At the bottom of the page, click the **Update case** button.
- 4** Enter the necessary information and click **Finalise** (or **Send** if you have manager rights), or **Save as draft**.



You can also remove any added attachments and add new ones.

9. Request to Close a Case

Home Cases Requests Search Export / Import status **My info**

Open (2) Closed (0) Zero Notification (0) Cancelled (0) Expired (0)

Anonymised (0) All

Search

List of cases

Case	Reference number - OLAF	Registration date	Date of last change	Status
80335	EAGF/EAFRD / BE / 512 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	Open

Update case **Close case** View history Cancel case Print Export Back

Home Cases Requests Search Export / Import status **My info**

REQUEST TO CLOSE A CASE: 80335

Reference number - OLAF : EAGF/EAFRD / BE / 512 / 2015 / 80335
 Programming period : 2007-2013
 Currency : EUR
 Request Origin : User Input

1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project 5 Operation-Specific-Agriculture
 6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Identification

* 1.1 Fund
 EAGF/EAFRD-European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development

* 1.2 Year
 2015

* 1.3 Programming period
 2007-2013

1.4 Reference number - national
 Test defect from bugfest 1

Drafting information

1.5 Initiating authority - complete name
 BE_512 - BE-5INTERMEDIATE2

1.6 Request language
 Select a value

1.7 Currency
 EUR

1.8 Exchange rate applied
 274

1.9 National currency
 Select a value

1.10 Drafting date
 [Calendar icon]

1.11 Quarter
 yyyy/Q

Special request

1.12 New modus operandi
 0

1.13 Necessity to inform other countries
 0

1.14 Person found in other case(s)
 0

Status

1.15 Proceedings
 Select value(s)

1.16 Financial status
 Select a value

Case closure

* 1.17 Case closure date
 04/08/2015

1.18 Case irrecoverable
 I

If the case is irrecoverable, you must attach a request to close, in field 11.3. Attachments.

Save as draft Finalise Cancel

Figure 20: Request to close a case


This type of request is used to close an already existing open case and, if needed, to make updates to the case before closing it:

- ❶ Open the case that you want to close.
- ❷ At the bottom of the page, click the **Close case** button.
- ❸ The 'Request to close a case' page is displayed. The available fields are the same as when creating an initial request (see chapter 4 Initial Request - Request to Create a Case).

All the sections and rules that are applicable when you create an initial request, are also applicable when you update, close or reopen a case. You can update all fields except **1.1 Fund**, **1.2 Year** and **1.3 Programming period**.

Two additional fields are available:

1.17. Case closure date


IMS indicates by default the date when the case is reported as closed. Click the calendar button to change the date () if needed.

Be aware that the case closure date triggers the automatic anonymisation of cases. Most of the entered information will be deleted, depending on the specific circumstances of a case, n-years after the closure of a case. For more information on which information remains after anonymising a case, see chapter 7 Request to Cancel a Case.



This section is not displayed when you reopen the case.

1.18. Case irrecoverable

Click this button to indicate that the case was irrecoverable (set to ).

If you indicate that the case is irrecoverable, a warning message will be displayed.

If the case is irrecoverable, you must attach a request to close, in field 11.3. Attachments.

- ❹ Enter the necessary information and click **Finalise** (or **Send** if you have manager rights), or **Save as draft**.

10. Create a Zero Notification

Home Cases Requests Search Export / Import status

↓ Incoming (1) → Outgoing (0) 📁 Finalised (0) ⚠ Rejected (0)

📧 Sent to OLAF (2) All

Search

List of requests

	Request ID	Reference number

1 Create request

- Initial request
- Initial request - closed case
- 1 Zero Notification

Home Cases Requests Search Export / Import status My info

CREATE ZERO NOTIFICATION:
Reference number - OLAF : / BE / BE-CA / 2015 /

2

1 Identification

Identification

* Fund Select a value

* Year 2015

* Programming period Select a value

Reference number - national

Drafting information

Initiating authority - complete name
BE-CA - BE-Central 282

Drafting date 10/09/2015

Quarter yyyy/Q

3

Save as draft Finalise Cancel

Figure 21: Create zero notification

You can create a 'Zero notification' which notifies OLAF that there are no irregularities to report during a certain reporting period.

To create a zero notification:

- ① On the 'Requests' page, select 'Zero Notification' from the 'Create request' drop-down list.
- ② Enter the necessary details.
- ③ Click **Finalise**. If you have manager rights, click **Send**.

You must enter the following data:

Fund: the fund that applies to the case for which you are creating the zero notification. This field is mandatory.

Year: the year that applies to the case for which you are creating the zero notification. The current year is entered by default. This field is mandatory. You can only select the previous, the current or the next year.

Programming period: the programming period that applied to the case for which you are creating the zero notification. This field is mandatory.

Reference number - national: enter the relevant national reference number.

Initiating authority - complete name: the 'short name' and the name of the reporting authority that you, as the creator of the zero notification, belong to.

The name of your organisation is pre-entered. However, the field is editable.

Drafting date: select the date when the zero notification was created, from the calendar (click )..

Quarter: irregularities have to be reported within 2 months after the quarter in which they were detected. In this field you need to enter the reporting quarter of the zero notification. For example: 2015/1 for the first quarter of 2015.

11. Drafts

11.1 Save a Request as a Draft

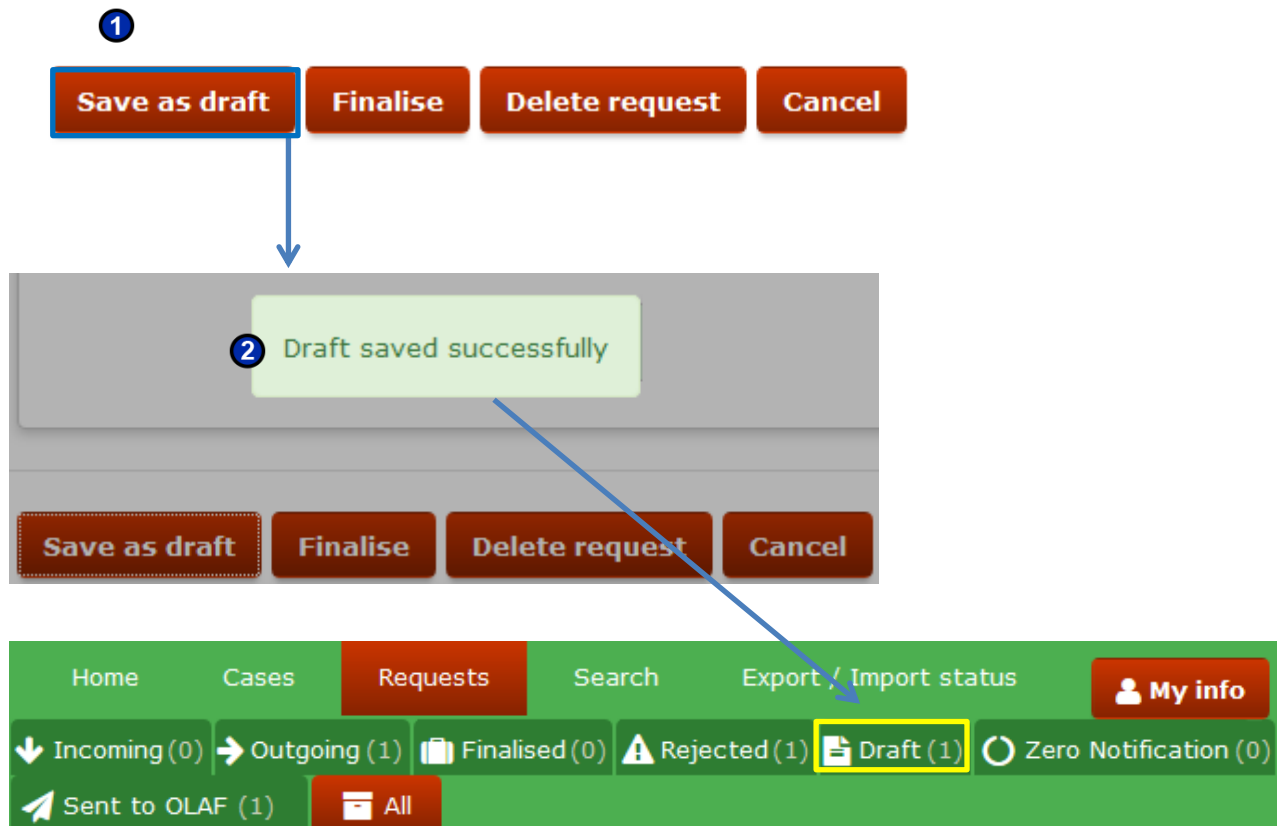


Figure 22: Save a request as a draft

You can save a request as a draft. You can then edit and finalise the request later (or send it if you have manager rights).

To save your request as a draft, click the **Save as draft** button at the bottom of the create request page (1). A message is displayed to confirm that the request is saved as a draft (2).



A request must be valid in order to be saved as a draft. For more information about validating requests, see chapter 5 Validation.

11.2 Edit a Draft

Home Cases Requests Search Export / Import status My info

Incoming (0) Outgoing (1) Finalised (0) Rejected (1) Draft (1) Zero Notification (0)

Sent to OLAF (1) All

Search Create request

List of requests

Request ID	Reference number - OLAF	Date of last change	Status
312	EAGF/EAFRD / BE / 512 / 2015 / 80337	27/07/2015 16:31:00	Draft

Showing 1 to 1 of 1 requests Page size 20

REQUEST TO CREATE A CASE: 80337

Reference number - OLAF : EAGF/EAFRD / BE / 512 / 2015 / 80337

Programming period : 2007-2013

Currency : EUR

Request ID : 312

Request Origin : User Input

View history

Once a request is saved, these values are added.

1 Identification 2 Personal data 3 Operation - general 4 Operation - Specific - Project

5 Operation - Specific - Agriculture 6 Irregularity 7 Detection 8 Amounts 9 Recovery 10 Sanctions

11 Comments

Identification

* 1.1 Fund

EAGF/EAFRD

European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development

* 1.2 Year

2015

Save as draft Finalise Delete request Cancel

Figure 23: Edit a draft

You can edit a draft at any time, as long as you don't finalise (or send) it.



When you edit and save a draft, the previously saved draft is overwritten. The system will not create a new draft for every time that you save changes to it.

To edit a draft:

- ① Go to the 'Requests' page and click the 'Draft' tab.
- ② The drafts are displayed.
- ③ Open the draft by clicking the ID of the draft request. Edit it as necessary.
- ④ Click the **Save as draft** button or **Finalise** the request (or **Send** it if you have manager rights).

11.3 Delete a Draft

The screenshot illustrates the process of deleting a draft request in the IMS system, with four numbered steps:

- Step 1:** Click on the **Draft (1)** tab in the top navigation bar.
- Step 2:** Click on the draft request (ID 312) in the **List of requests** table.
- Step 3:** Click on the **Delete request** button in the action bar.
- Step 4:** Confirm the deletion in the **Please confirm** dialog box by clicking **Yes**.

Initial State (Top Screenshot):

- Navigation: Home, Cases, **Requests**, Search, Export / Import status, My info
- Status Bar: Incoming (0), Outgoing (1), Finalised (0), Rejected (1), **Draft (1)**, Zero Notification (0)
- Sub-navigation: Sent to OLAF (1), All

List of requests Table:

Request ID	Reference number - OLAF	Date of last change	Status
312	EAGF/EAFRD / BE / 512 / 2015 / 80337	27/07/2015 16:31:00	Draft

Action Bar (Step 3): Save as draft, Finalise, **Delete request**, Cancel

Confirmation Dialog (Step 4):

☒ Please confirm
Do you want to delete the request?

Yes No

Final State (Bottom Screenshot):

- Navigation: Home, Cases, **Requests**, Search, Export / Import status, My info
- Status Bar: Incoming (0), Outgoing (0), Finalised (0), Rejected (1), **Draft (0)**, Zero Notification (0)
- Sub-navigation: Sent to OLAF (2), All

Figure 24: Delete a draft

To delete a draft.

- ① Go to the 'Requests' page and click the 'Draft' tab.
- ② On the drafts page, click the 'Request ID number' to open it.
- ③ Click **Delete Request**.
- ④ A dialog box is displayed. Click **Yes** to confirm.

12. Recreate a Rejected Request

The screenshot illustrates the steps to recreate a rejected request in the IMS system:

- Navigation:** The user is on the 'Requests' tab. The 'Rejected (1)' status is highlighted.
- Search and Selection:** A search bar is present. Below it, a 'Create request' button is shown. The 'List of requests' table displays one entry with ID 247, which is highlighted.
- Action:** The 'Recreate request' button is clicked for the selected request.
- Form View:** The system displays the 'REQUEST TO CREATE A CASE: 80318' form. The 'Identification' tab is selected, showing fields for Fund (EFF), Year (2015), Programming period (2007-2013), and Reference number (BE-5CA).
- Finalization:** The 'Finalise' button is clicked to complete the process.

Table 1: List of requests

Request ID	Reference number - OLAF	Date of last change	Status
247	EAGF/EAFRD / BE / 5I2 / 2015 / 80312	27/07/2015 10:59:15	Rejected by BE_5I2

Form Fields:

- * 1.1 Fund: EFF European Fishery Fund
- * 1.2 Year: 2015
- * 1.3 Programming period: 2007-2013
- 1.4 Reference number - national: BE-5CA

Figure 25: Recreate a rejected request

If a request that you have created is rejected, you must recreate and finalise it (or send it if you have manager rights).

By recreating a rejected request, you are creating a new request, with a different request ID. The request that was rejected, remains in IMS with the status **rejected**. Users that could see the request before it was rejected, can still see it on the 'Requests' page under the 'Rejected' tab.

To recreate a rejected request:

- ① Go to the 'Request' page and click the 'Rejected' tab.
- ② Click the **Request ID number**.
- ③ The rejected request is displayed. At the bottom of the page, click the **Recreate request** button.
- ④ The request is opened, all the previously entered information is displayed.



When a manager rejects a request, (s)he must give a reason for rejection. This information is displayed in the 'Rejection reasons' field at the bottom of the page, when you are viewing the case (it is not available in edit mode). It will contain the necessary changes that must be made for the request to be accepted. You can also find the rejection reason in the history of the request, in the 'Remarks on the action' field.

For more information about viewing the request history, see chapter 13.2.2 View Request History.



You can sort the listed requests in ascending or descending order. See chapter 13.3 Sorting.



Edit the information as necessary and click **Finalise** (or **Send** if you have manager rights) or **Save as draft**.

13. List and View Cases and Requests

1 Home Cases Requests Search Export / Import status My info

Open (2) Closed (0) Zero Notification (0) Cancelled (0)

Expired (0) Anonymised (0) All

Search

List of cases

Case ID	Reference number - OLAF	Registration date	Date of last change	Status
80335	EAGF/EAFRD / BE / 5I2 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	Open

2 Home Cases Requests Search Export / Import status My info

Case overview

1 Identification 2 Personal data 3 Operation - general
4 Operation-Specific - Project 5 Operation-Specific - Agriculture 6 Irregularity
7 Detection 8 Amounts 9 Recovery 10 Sanctions 11 Comments

Case overview

Case ID 80335
Registration date 30/07/2015 14:18:14
Date of last change 30/07/2015 14:18:14
Status OPEN
Case version 1

3 Update case Close case View history Cancel case Print Export Back

History entries

Case version	Action	Initiator/Sender	Date	Request ID
2	Amend	OLAF	25/09/2015 09:52:22	614
1	Create	BE-CA	22/09/2015 10:04:02	418

Showing 1 to 2 of 2 record(s) Page size 20

Case history - details of case version: 2


Field name	Event	New value	Old value
version	Modified	2	1
1.8 Exchange rate applied	Modified	6.00	4

Showing 1 to 2 of 2 record(s) Page size 20

Figure 26: List and view

13.1 List and View Cases

1 The cases are listed on the 'Cases' page. To view a listed case, click the 'Case ID' (2). The case is displayed.

 You can sort the listed cases in ascending or descending order. See chapter 13.3 Sorting.

13.1.1 Actions Available While Viewing Cases

3 While viewing cases, you have the following options available:

View history: view the case history.

Print: print the case.

Back: return to the previous page.

Export: export the case to an excel file.

Depending on the status of the case, the following options are available:

Update: create an update request for the case.

Close: create a close request for the case.

Cancel: request to cancel a case.

13.1.2 View Case History

The case history contains information about the requests of the case. To view the case history, from the list of cases:

4 On the 'Cases' page, click on the 'Status' of the case.

5 The case history is displayed. The following fields are available:


Case version: every request that is applied to the case increases the case version. Version 1 is always the initial request to create the case.

Action: the type of request that was applied to the case.

Initiator/Sender: the organisation that sent the request. Click to view the case history details. (6).

Date: registration date of the request

Request ID: the ID number of the request linked to the case. Click the request ID number to display the request (7).

 You can also check the history of a case that you are viewing. To this end, click the **View history** button at the bottom of the page.

13.1.3 Case History Details Field

When you click the initiator/sender name (6), the case history details are displayed (8). The following fields are available:

Field name: the name of the field that was changed in any request following the 'create case' request.

Event: the action performed on data of a request/case: added, modified, deleted

New value: the new information available following the event

Old value: the information that was available before the event

In this example, a case was created and then amended by OLAF. When we view the history of the 'amend' action, the following information is available:

- Field 1.8 'Exchange rate applied' was modified from '4' (old value) to '6.00' (new value).
- Accordingly, the version was modified from '1' to '2'.

13.2 List and View Requests

Home Case **1** Requests Search Export / Import status **My info**

2 Incoming (1) Outgoing (0) Finalised (1) Rejected (2) Draft (0)

Zero Notification (1) Sent to OLAF (2) **All**

Search

Create request

List of requests

Request ID	Reference number - OLAF	Date of last change	Status
50356	EMFF / BE / SSM / 2015 / 130011	31/07/2015 16:25:07	Sent to BE_5I2
50355	EMFF / BE / SSM / 2015 / 130011	31/07/2015 16:24:26	Rejected by BE_5I2
307	EAGF/EAFRD / BE / 5I2 / 2015 / 80335	30/07/2015 14:18:14	Sent to OLAF

Showing 1 to 3 of 3 record(s) Page size 20

Home Cases Requests Search Export / Import status **My info**

Request overview

1 Identification 2 Personal data

3 Operation - general 4 Operation - Specific - Project

5 Operation - Specific - Agriculture 6 Irregularity 7 Detection 8 Amounts

9 Recovery 10 Sanctions 11 Comments **+** **-**

Request overview

Request ID 50356

Request type Create

Request Origin User Input

Registration date 31/07/2015 16:25:07

Date of last change 31/07/2015 16:25:07

Creator BE_5SM

View history **Print** **Back**

Figure 27: List and view requests

You can list all requests that are part of an open case, until OLAF amends the case. Requests that are part of a closed case cannot be listed. You can find them by doing a search. For more information about the search function, see chapter 17 Search.



The number of requests available under each tab, is noted between brackets, for example: **Incoming (2)**. The available tabs depend on your user profile.

View requests by clicking on the tabs:

- Incoming
- Outgoing
- Finalised
- Rejected
- Draft
- Zero Notification
- Sent to OLAF

To display the list of requests:



1 On the 'Requests' page, all requests are displayed.



2 You can click the tabs to only view requests with a specific status (e.g.: click the 'Finalised' tab to only display finalised requests).



3 Click a request to view it.



The available tabs depend on your user profile.

The requests are displayed in a table. The following columns are available:

- Request ID
- Reference Number - OLAF
- Reference Number - national
- Request type
- Date of last change
- Creator
- Status



You can sort the listed requests in ascending or descending order. See chapter 13.3 Sorting.



You can search for request directly from the 'Requests' page: enter a keyword and press the ENTER key.

Home
Cases
Requests
Search
Export / Import status
My info

Incoming (1)
Outgoing (0)
Finalised (1)
Rejected (2)
Draft (0)

Zero Notification (1)
Sent to OLAF (2)
All

Search

Create request

List of requests

Request ID	Reference number - OLAF	Date of last change	Status
50356	EM55 / BE / 5SM / 2015 /	31/07/2015 07	Sent to BE_5I2
		2015 26	Rejected by BE_5I2
		2015 14	Sent to OLAF

Request overview

1 Identification
2 Personal data
3 Operation - general
4 Operation - Specific - Project
5 Operation - Specific - Agriculture
6 Irregularity
7 Detection
8 Amounts
9 Recovery
10 Sanctions
11 Comments

Request ID 50356
Request type Create
Request Origin User Input
Registration date 31/07/2015 16:25:07
Date of last change 31/07/2015 16:25:07
Creator BE_5SM

View history
Print
Back

Request history

Action	Initiator/Sender	Receiver	Date	Rejected / Recreated request ID	Remarks on the action
Sent	5SM	5I2	31/07/2015 16:22:04		
Rejected	5I2	5SM	31/07/2015 16:24:26	50355	asdadasda
Sent	5SM	5I2	31/07/2015 16:25:07		

Showing 1 to 2 of 2 record(s)
Page size 20

Back

Figure 28: Request history

13.2.1 Actions Available While Viewing Requests

The following actions are available:

View history: view the request history.

Print: print the request.

Back: return to the previous page.

13.2.2 View Request History

The request history contains information about the actions performed for a request. For every action performed for the request, a new entry is added to the history.

To view the request history:

- ① On the 'Requests' page, click the link in the 'Status' column.
- ② Alternatively, to display the history while viewing a request, click the **View history** button.
- ③ The request history is displayed. The following fields are available:

Action: what was done with the request (finalised, sent, rejected etc.)

Initiator/Sender: the organisation that finalised, sent, rejected etc. the request.

Receiver: the organisation that the request was sent to, who rejected it etc.

Date: date when the action was performed.

Rejected/Recreated request ID: in case the request was rejected and recreated, its ID number is listed here.

Remarks on the action: remarks may be:

- The rejection reasons entered when the request is rejected.
- The fact that the Initiating authority was changed, when a change of ownership is made.
- The fact that the reporting structure was changed and a pending request was reset to draft.



You can sort the listed requests in ascending or descending order. See chapter 13.3 Sorting.

13.3 Sorting

Whenever requests or cases are displayed in a table (e.g. as search results or when they are listed under the 'Cases' or 'Requests' tab), you can sort them by column in ascending or descending order.

To sort:

① Click a column label.

Case ID	Reference number - OLAF	Registration date	Date of last change		Status
80335	EAGF/EAFRD / BE / 5I2 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	↓↑	Open


② A grew arrow is displayed . Click it to sort the table in ascending or descending order.

Figure 29: Sorting

14. Print a Request or a Case

1 Identification

Reference number - OLAF	AMF / BE / 512 / 2015 / 130042
Fund	(AMF) Asylum and Migration Fund
Year	2015
Programming period	2014-2020
Reference number - national	

1

Send Reject View history **Print** Back

Print

Printer

Name: \\s-olaf-print\PRT-01-37 Properties...

Status: Ready

Type: Lexmark E352dn (MS)

Where: J-30 01/37

Comment: P-J-30-01-37-LEX 158.166.228.148 ☐ Print to file

Print range

☒ All

☐ Pages from: 1 to: 1

☐ Selection

Copies

Number of copies: 1

☒ Collate

2

OK Cancel

Figure 30: Print

To print a request:

- ① While viewing a case or request, click the **Print** button at the bottom of the page.
- ② The print preview and a dialog box are displayed. Set the printing options and click **OK**.

15. Export Cases

The screenshot illustrates the 'Export Cases' process in the IMS system. It is divided into three main parts:

1. Main Navigation and Case List:

- Navigation Bar:** Home, Cases (selected), Requests, Search, Export / Import status, My info.
- Filters:** Open (2), Closed (0), Zero Notification (0), Cancelled (0), Expired (0), Anonymised (0), All.
- Search:** A search bar with the placeholder text 'Search'.
- List of cases:** A table with columns: Case ID, Reference number - OLAF, Registration date, Date of last change, and Status.

Case ID	Reference number - OLAF	Registration date	Date of last change	Status
80335	EAGF/EAFRD / BE / 5I2 / 2015 / 80335	30/07/2015 14:18:14	30/07/2015 14:18:14	Open
80312	EAGF/EAFRD / BE / 5I2 / 2015 / 80312	27/07/2015 11:00:25	27/07/2015 13:54:43	Open

2. Case Overview Panel:

Case overview

- Case ID: 10124
- Registration date: 22/09/2015 10:04:02
- Date of last change: 25/09/2015 09:52:22
- Status: OPEN
- Case version: 2

3. Action Buttons:

- Export (highlighted with a blue box and a blue arrow pointing to the 'List of cases' table).
- Update case, Close case, Cancel case, View history, Print, Export (highlighted with a blue box and a blue arrow pointing to the 'Case overview' panel), Back.

4. File Opening Dialog:

Opening IMS_Export_03082015151949_AFIS_Operations.xlsx

You have chosen to open:

- IMS_Export_03082015151949_AFIS_Operations.xlsx (Microsoft Excel Worksheet (10.3 kB) from: http://dafis6.olaf.cec.eu.int)

What should Firefox do with this file?

- ☒ Open with: Microsoft Excel (default)
- ☐ Save File
- ☐ Do this automatically for files like this from now on.

Buttons: OK, Cancel.

Figure 31: Export cases

You can export cases as an Excel file, from your search results or from the 'Cases' page.



Zero notification cases cannot be exported.



When you export several cases (bulk export), one excel file is created that includes all cases.

To export a case:



On the 'Case' page, select one or several of the listed cases that you want to export by ticking the check boxes.



Click the **Export** button at the bottom of the page.



Alternatively, while viewing a case, click the **Export** button at the bottom of the page.



A dialog box will be displayed. Select the preferred options ('Open with' or 'Save file') and click **OK**. If you choose to open the file, it will be displayed. If you choose to save the file, another dialog box will ask you to select where the file should be saved.



Similar to exporting listed cases, you can also export search results, by selecting the cases or the requests that you want to export (tick the check boxes) and clicking the **Export** button

16. Import Requests and Cases

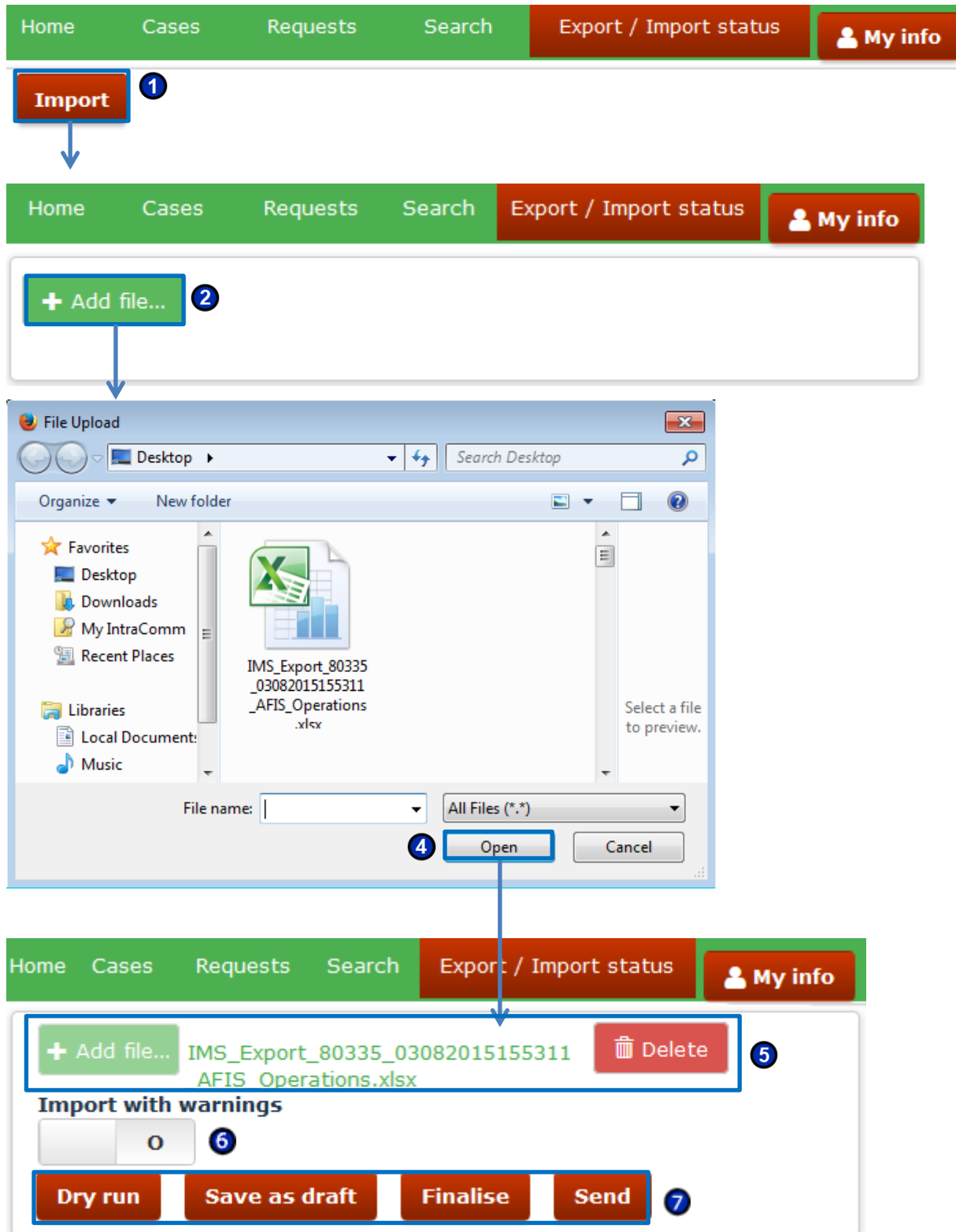


Figure 32: Import requests and cases

As an IMS creator or manager, you can import requests into IMS, which you can use to create new cases or to update existing ones. You can directly finalise the imported requests (or send them, depending on your user rights) or save them as drafts.

The requests to import must be in a specific Excel template.

To import a request or a case:

- ① Go to the 'Export/Import' status page.
- ② Click the **Import** button
- ③ Click the **+ Add file** button.
- ④ Select the file that you want to import and click **Open**.
- ⑤ The file is added. Click **Delete** to delete the file.
- ⑥ **Import with warnings**: this option allows you to import the file with warnings. Click the button to select.



With warnings : if the excel file that you are importing contains values that generate warnings in the system, the warnings are ignored and the file is imported.



Without warnings: if the excel file that you are importing contains values that generate warnings in the system, the file is **not** imported. The system displays the corresponding warnings.

- ⑦ You have several import options. Click one of the buttons to start the import:

Dry run: if you click the **Dry run** button, the system only simulates the import of the request(s). The dry-run option performs a complete validation of the import and presents you with potential errors that you may get at import. This enables you to correct the file before attempting to import it.



If you select this option, the request is not imported.

Save as draft: import the excel file and save the request as a draft.

Finalise: import the excel file and finalise the request.

Send: if you have manager rights, you can import the excel files and directly send the request (s) in them.

IMS

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Irregularity Management System

Home

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My info

+ Add file...

Search

Export / Import status

Refresh

Task ID	Filename	Task	Action	Action date and time	Start date and time	End date and time	Number of records (OK; NOK)	Status
12598401	IMS_Export_18487_23072015143219_AFIS_Operations.xlsx	Import request	Draft	12/08/2015 15:43:10	12/08/2015 15:44:00	12/08/2015 15:44:00	1 (0 ; 1)	Completed (click to view details)

Showing 1 to 1 of 1 record(s)

Page size 20

<<

<

1

>

>>

Figure 33: Import status

Upon import, the file is added to a status list. The following fields are available:

Task ID: all the imports you do get a unique ID number.

Filename: the name of the excel file to import.

Task: here: 'Import request'.

Action: either save, finalise, send or dry-run.

Action date and time: the date and time when the import was done.

Start date and time: the date and time when the system started processing the file to import.

End date and time: the date and time when the system finished processing the file to import.

Number of records (OK; NOK): the total number of rows in the excel file (except the first two rows, which are the header of the document). The number of records that are OK and the number if records that have errors (NOK) are displayed between brackets. E.g. (0;1): 1 file contained errors.

OK – no error/warning found

- The import was successful. In case of a dry-run, you can now import the file successfully.

NOK – errors/warnings found

The import failed. The number of errors is listed

Status

- Not started: the import was not started yet
- In progress: the system is importing the request
- Completed: the import was completed (but if there were errors in the file and you selected 'without warnings', the file is not imported).

Reportin g path	Registrat ion date	Date of last change	Status	Request type	Referenc e number - OLAF	1.1 Fund	Country	Initiating authority	1.2 Year	Case ID	1.3 Program ming period
BE_5CA	16/06/2015	16/06/2015	OPEN		ESF/BE/5	ESF	BE	5CA	2015	16824	1989-1993

Figure 34: Import excel file example

16.1 Rules for the Creation of a Request Excel File to Import

A valid request excel file has:



- A number of columns equal to the fields on the requests creation page.
- Each line contains one request. You can have several requests included in one excel file.



To import a request, you must enter the following information in the excel sheet:

- The request type:
 - Create
 - Update
 - Close
 - Reopen



In the columns corresponding to the fields which are part of a master-detail list, each value in a field should be separated by the 'pipe' character '|'.
 In case information is not available, the pipe character '|' still needs to be used, in order to make it possible for IMS to make the correct combination. The combinations of the above shown example are:

SA Hope and Galaxy, Hinoot and Francoise, Nachbar GmbH and Agrarmarkt, Smith and John.



For multi-value fields in the master-details, the different values must be separated by the star '*' character;

Example: 520*550|510*520*530 means that:

- the master detail contains two records (split by the '|' character)
- the field in the first record contains the values 520 and 550 (520 * 550)
- the field in the second record contains the values 510, 520 and 530 (510 * 520 * 530)

- If you select 'Create' as the request type, the case ID must be left empty.
- If you select 'Update', 'Close' or 'Reopen' as the request type, the case ID must be entered. If the given Case ID does not exist in the system, the import is **not** allowed.
- If you are importing a request to **update, close or reopen** and there are pending request for the case, the request is not imported.
- If you are importing a request to **update, close or reopen** and ongoing requests exist for the case, the import is not allowed.



All the fields that are read-only on the request page are automatically filled in by the system and are thus ignored during the import, e.g. some amounts fields and some fields related to the CCI number etc. are ignored during import, except for the amounts in fields 8.1 and 8.2. **Columns displayed in grey should not be changed.**

Specific rules for the amounts fields 8.1 and 8.2:

The amounts in fields 8.1 and 8.2 are automatically entered by the system while creating a request. They are based on information entered in page 4 or 5 of the request. However, if you change this information in the excel file that you want to import, these values will overwrite the values entered by default in the system, even if the values that you entered in the excel sheet are incorrect.

IMS

User Manual

Irregularity Management System

HomeCasesRequestsSearchExport / Import statusMy info

+ Add file...

Search

Export / Import status

Refresh

Task ID	Filename	Task	Number of records (OK; NOK)	Status
12003	IMS_Export_16824_16062015144714_AFIS_Operations.xlsx	Import request	1 (0 ; 1)	Completed

Showing 1 to 1 of 1 record(s)
Page size 20

HomeCasesRequestsSearchExport / Import statusMy info

Record number	Request ID	Reference number - OLAF	Status
3		ESF/BE/2015/BE-CA/	Completed with errors

Showing 1 to 1 of 1 record(s)
Page size 20

Back

HomeCasesRequestsSearchExport / Import statusMy info

4

Record number	Request ID	Reference number - OLAF	Status
3		ESF/BE/2015/BE-CA/	Completed with errors

Showing 1 to 1 of 1 record(s)
Page size 20

Field name	Validation message	Wrong value in import file
	Case not found in the system	
Request type	Unknown action / action not allowed	

Showing 1 to 2 of 2 record(s)
Page size 20

Back

Figure 35: Import results and errors

16.2 Import Results and Errors

If you try to import a request that has errors in it, it is not imported. The import status will read 'Completed' but this only means that the system completed an attempt to import the file; it doesn't mean that the file was imported successfully.

You must always check if a file with the status 'Completed' contains any errors. If the file contains errors, you must correct them and import it again.

To view the errors in a file that you tried to import:

- ① When the file import is complete, the 'COMPLETED' link is displayed in the 'Status' column. Click the link.
- ② The list of requests contained in the file to import are displayed in a table. It contains the record number (i.e. the number of files in the excel file), ID number, reference number - OLAF and the status of the request.
- ③ If the status reads 'Completed with errors', the request was not imported. You must click the line to display the errors.

The errors are displayed in a table:

Field name: the name and number of the field where the error or warning was found.

Validation message: the error message or the warning that was generated for the given field.

Wrong value in import file: the incorrect value that was entered in the excel file.

- ④ Correct the errors and import the file again.

17. Search

Home
Cases
Requests
Search
Export / I

My info

Case search criteria

Request search criteria

1

Reference number - OLAF

Fund

Select a value

Country

BE - Belgium

Initiating authority

Year
Case ID

Reference number - national

Initiating authority - complete name

300

Case status

Select a value

Dates

Date of discovery (PACA)

Drafting date

From

To

From

To

Registration date

Date of last change

From

To

From

To

Quarter

yyyy/Q

Case with attachments

0

Special case

New modus operandi

0

Necessity to inform other countries

0

Person found in several cases

0

Case irrecoverable

0

Persons

Person involved

National ID number

Operation - general

Programming period

Select a value

Objective

Select a value

Objective - CCI

Select a value

CCI number

ARINCO number

EFRD/ESF/EAGGF/FIFG number

Operation - specific - project

Project - name

Select a value

Project - number

Select a value

Operation - specific - agriculture

Budget year

Select a value

Budget line

Classification

Select a value

Sanctions applied

Select a value

Amount of irregularity - EU-share

-

Status

Proceedings

Select a value

Financial status

Select a value

2

3

Search

Export

Reset

Figure 36: Search page

17.1 Search Page

The IMS search page contains 2 tabs:

- Case search criteria: search for cases.
- Request search criteria: search for requests.

These tabs function independent of each other, meaning that you cannot run a search for a case and a search for a request simultaneously. The search criteria on one page do not affect the search criteria on the other page.

To search:

1 On the search page, chose whether you want to search for cases or requests, by clicking a tab: 'Case search criteria' or 'Request search criteria'.

2 Enter the relevant search criteria under the 'Case search criteria' or under the 'Request search criteria' page.

3 Click **Search**. The search results are listed.



Click **Reset** to delete all entered search criteria. If you are searching for cases, you can directly export the search results. Click **Export** to export the search results. For more information about the export, see chapter 15 Export Cases.



You can use the * wildcard to search using only part of a word. For example:

*day => search results include: 'Monday', 'Tuesday' and 'day'.

day* => search results include: 'daybreak', 'Sundays' and 'day'.



The search criteria are case insensitive.

Home		Cases	Requests	Search	Export / Ii	My info
Case search criteria		Request search criteria				

Reference number - OLAF

Fund

EAGF/EAFRD European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development

Country

BE - Belgium

Initiating authority

Year **Case ID**

Reference number - national

Initiating authority - complete name

300

Case status

Select a value

Dates

Date of discovery (PACA) From To **Drafting date** From To

Registration date From To **Date of last change** From To

Quarter

yyyy/Q

Case with attachments

0

Special case

New modus operandi 0

Necessity to inform other countries 0

Person found in several cases 0

Case irrecoverable 0

Persons

Person involved

National ID number

Operation - general

Programming period

Select a value

Objective

Select a value

Objective - CCI

Select a value

CCI number

ARINCO number

EFRD/ESF/EAGGF/FIFG number

Operation - specific - project

Project - name

Select a value

Project - number

Select a value

Operation - specific - agriculture

Budget year

Select a value

Budget line

Classification

Select a value

Sanctions applied

Select a value

Amount of irregularity - EU-share

-

Status

Proceedings

Select a value

Financial status

Select a value

Search

Export

Reset

↑

Figure 37: Search cases

17.1.1 Case Search Criteria Page: Available Search Criteria

The following search criteria are available on the 'Case search criteria' page:

Reference number OLAF: search the OLAF reference number by fund, by country (if you are and EC officer), by initiating authority, year and case ID.

- Fund: the available funds depend on the competence of the organisation you belong to.

Reference number-national: search the reference number national.

Initiation authority-complete name: the complete name of the organisation that created the case.

Case status: select a case status from the drop-down list to search for it.

Dates: Search by one or several of the following dates:

- Date of discovery (PACA): the date when the irregularity was discovered.

PACA (**P**remier **A**cte de **C**onstat **A**ministratif) is the first written assessment of a competent authority, either administrative or judicial which concludes that an irregularity has been committed. This conclusion is based on actual facts and is not influenced by the possibility that this conclusion may subsequently have to be adjusted or withdrawn, as a result of developments in the course of the administrative or judicial procedure.

- Drafting date: the date when the request was drafted.
- Registration date: the date when the case was registered in the system.
- Date of last change: the date when the last change was made to the case.

Quarter: search for the quarter that the case was created in.

Case with attachments: search only in cases that contain attachments.

Special case: If you want the search results to contain cases that have one or several of the following options enabled, click the buttons:

- New modus operandi
- Necessity to inform other countries
- Person found in several cases
- Case irrecoverable

Person: search for persons involved by name and/or by national ID number.

- Person involved: search by the fields:
 - Company name / Family name
 - Trade name / First name
 - Parent name / Independent prefix
- National ID number: search by the field 'National ID number'.

Operation-general: search the information on the 'Operation - general' page.

- Programming period
- Objective
- Objective-CCI
- CCI number
- ARINCO number
- EFRD/ESF/FIFG number

Operation-specific-project: search by project name and/or number.

- Project-name
- Project-number

Operation-specific-agriculture: search by budget year and/or budget line.

Classification: search for a case by its classification.


Sanctions applied: search by the sanctions applied concerning this case.

Amount of irregularity-EU-share: search by the **EU share** of the **amount of irregularity**. You can enter 2 amounts between which to search. Enter an amount in the field on the left to search by that amount or higher. Enter the amount on the right to search by that amount or lower.

Status: search by the case status.

- Proceedings
- Financial status

17.1.2 Request Search Criteria Page

Home	Cases	Requests	Search	Export / Import status	 My info
Case search criteria		Request search criteria			

Request

Type

Create

Request status

Sent to OLAF

Creator

BE-CA

Initiating authority - complete name

Request ID

Case ID

Search

Reset

Figure 38: Search requests

The following search criteria are available on the 'Request search criteria' page:

Type: search by type of request.

Request status: search by the status that the request is in (draft, finalised, rejected, sent, sent to OLAF).

Creator: search by the creator of the request.

Initiation authority: search for requests that were created by a specific authority.

Request ID: search by a request ID.

Case ID: search by a case ID. The search results will include all the requests linked to a certain case.

Home Cases Requests Search Export / Import status My info

Case search criteria Request search criteria

+ **1**

Search

List of requests Refresh

Request ID	Reference number - OLAF	Date of last change	Status
418	EAGF/EAFRD / BE / BE-CA / 2015 / 10124	22/09/2015 10:04:02	Sent to OLAF
415	CF / BE / BE-CA / 2015 / 10123	22/09/2015 08:58:36	Sent to OLAF
410	CF / BE / BE-CA / 2015 / 10100	21/09/2015 10:55:59	Sent to OLAF
11	CF / BE / BE-CA / 2016 / 10020	18/09/2015 10:06:27	Sent to OLAF

Showing 1 to 4 of 4 record(s) Page size 100

Home Cases Requests Search Export / Import status My info

Case search criteria Request search criteria

-

Request

Type
Create

Request status
Sent to OLAF

Creator
BE-CA

Initiating authority - complete name

Request ID

Case ID

2

Search Reset

Search

List of requests Refresh

Request ID	Reference number - OLAF	Date of last change	Status
418	EAGF/EAFRD / BE / BE-CA / 2015 / 10124	22/09/2015 10:04:02	Sent to OLAF
415	CF / BE / BE-CA / 2015 / 10123	22/09/2015 08:58:36	Sent to OLAF
410	CF / BE / BE-CA / 2015 / 10100	21/09/2015 10:55:59	Sent to OLAF
11	CF / BE / BE-CA / 2016 / 10020	18/09/2015 10:06:27	Sent to OLAF


Showing 1 to 4 of 4 record(s) Page size 100

« < 1 > »


Figure 39: Edit a search

17.2 Edit a Search

To edit a search:

- ① Click the  button to expand the search criteria section.
- ② Make all the necessary changes and click **Search**.



If you want to hide the search criteria, click the  button.

[Home](#)[Cases](#)[Requests](#)[Search](#)[Export / Import status](#)[My info](#)[Case search criteria](#)[Request search criteria](#)

+

List of requests[Refresh](#)

	Request ID	Reference number - OLAF	Date of last change	↓↑	Status
<input type="checkbox"/>	418	EAGF/EAFRD / BE / BE-CA / 2015 / 10124	22/09/2015 10:04:02		Sent to OLAF
<input type="checkbox"/>	415	CF / BE / BE-CA / 2015 / 10123	22/09/2015 08:58:36		Sent to OLAF
<input type="checkbox"/>	410	CF / BE / BE-CA / 2015 / 10100	21/09/2015 10:55:59		Sent to OLAF
<input type="checkbox"/>	11	CF / BE / BE-CA / 2016 / 10020	18/09/2015 10:06:27		Sent to OLAF

Showing 1 to 4 of
4 record(s)

Page size

100 ▼

<< < 1 > >>

Figure 40: Search results

17.3 Search Results

The search results are listed in a table.



You can sort the search results in ascending or descending order. See chapter 13.3 Sorting.

18. E-mail Notifications

AFIS Operations

SPECIAL CHARACTERISTICS **1** MY PROFILE HELP SIGN OUT EN

Application Name	Details
Production	
IMS (Irregularity Management System 5.0.0)	View Details...

User Properties

Preferred Language: EN

My notifications	Subscribe/Unsubscribe
Cases amended by OLAF	<input type="checkbox"/>
Draft request(s) created following the change of a Reporting path	<input type="checkbox"/>
Rejected requests	<input type="checkbox"/>
Requests sent to OLAF	<input type="checkbox"/> 4
Draft request(s) following the change of an Initiating authority	<input type="checkbox"/>

Rejected requests	<input checked="" type="checkbox"/>	
Requests sent to OLAF	<input type="checkbox"/>	5
Draft request(s) following the change of an Initiating authority	<input type="checkbox"/>	

Save Cancel

6

IMS - newly rejected request(s) - Message (Plain Text)

File Message Machine Translation

From: OLAF-AFIS-NO-REPLY Sent: Tue 11/08/2015 14:39

To:

Cc:

Subject: IMS - newly rejected request(s)

Dear IMS user,

The following request(s) have been rejected.
CF / DK / ALL / 2015 / 136327
Please take the appropriate action to recreate these requests.

Security notice:

For security reasons, the AFIS notifications do not include links to directly access any business functionality in an e-mail message. At the same time, you will never be asked to log in to any page or provide your credentials.

Please do not reply to this e-mail.

If you are not the expected recipient, please contact the AFIS Helpdesk :
Phone +32 2 296 27 27 | E-mail olaf-afis-it-help-desk@ec.europa.eu

Figure 41: Enable/disable e-mail notifications

Depending on your rights, you can receive notifications by e-mail whenever the following actions are performed in IMS.

My notifications	Description	Users that can activate the notification
Cases amended by OLAF	When a case is amended by the OLAF manager, the organisation that initiated the request is notified.	creator manager country officer
Draft request(s) created following the change of a Reporting path	When ongoing requests are reset to draft, following a change of the reporting path, the initiating organisation that the draft is returned to, is notified.	creator manager country officer
Requests finalised and ready to be sent	A request is finalised. The manager receives a notification that (s)he can send the request.	manager
Rejected requests	When a request is rejected by either a manager of the same authority, by a manager of an intermediate authority, or by OLAF, a notification is sent to the creator/manager of the initiating authority.	creator manager country officer
Requests sent to OLAF	A request is sent to OLAF (request status becomes 'Sent to OLAF').	creator manager country officer
Draft request(s) following the change of an Initiating authority	When ongoing requests are reset to draft, following a change of the Initiating authority (change of ownership), the new Initiating authority that receives the draft is notified.	creator manager country officer
Requests sent for approval on the reporting path	When a request is sent for approval on the reporting path, the manager/country officer of the intermediate reporting authority that receives the request for approval is notified.	manager country officer

Table 4: E-mail notifications

You can enable/disable notifications in the 'My profile' section on the AFIS Portal. By default, there is no subscription to any notification.



Since the IMS cases/request are not linked to users but to RAs, the notifications are sent to all users of a RA who subscribed to the corresponding event.



If several actions that trigger e-mail notifications are performed within a pre-defined time interval, you will receive the notifications grouped in one e-mail. For example, if 5 requests are finalised during a given period, you will receive 1 notification with the 5 OLAF reference numbers for these requests.

To receive e-mail notifications, do the following:

- 1 Click 'My Profile' in the AFIS Portal.
- 2 The 'My Profile' section is displayed.
- 3 Click the **View Details** button in the 'Details' section next to the 'Application Name' section.
- 4 The 'My notifications' table is displayed. Tick the check boxes to select the notifications that you want to receive. Which check boxes are available depends on your user rights.
- 5 When you tick or untick check boxes the **Save** button is displayed. Click this button to save the changes you made. Click **Cancel** to undo any changes made.
- 6 In this example, we selected to receive notifications whenever a request in our organisation is rejected. Accordingly, we receive this e-mail message. It contains the requests that were rejected and the action that should be taken.

19. Request Functions for Managers

The screenshot displays the 'List of requests' interface in the IMS system. The top navigation bar includes 'Home', 'Cases', 'Requests' (active), 'Search', and 'Export / Import status'. A 'My info' button is in the top right. Below the navigation bar, there are filters for 'Incoming (1)', 'Outgoing (0)', 'Finalised (1)', 'Rejected (2)', and 'Draft (0)'. A 'Sent to OLAF (2)' filter and an 'All' button are also present. A search bar and a 'Create request' button are located below the filters. The 'List of requests' table has columns: 'Request ID', 'Reference number - OLAF', 'Date of last change', and 'Status'. A single request is listed with ID 50482, reference number AMF / BE / SI2 / 2015 / 130042, date 03/08/2015 13:49:40, and status 'Finalised'. Below the table, it says 'Showing 1 to 1 of 1 requests' and 'Page size 20'. A blue arrow points from the request ID '50482' to a 'Send' button in a row of action buttons (Send, Reject, View history, Print, Back) at the bottom. A blue circle with the number '1' is next to the request ID, and a blue circle with the number '2' is next to the 'Send' button.

Request ID	Reference number - OLAF	Date of last change	Status
50482	AMF / BE / SI2 / 2015 / 130042	03/08/2015 13:49:40	Finalised

Showing 1 to 1 of 1 requests

Page size 20

Send Reject View history Print Back

Figure 42: Send a request

19.1 Send a Request

The following actions can only be done by users with manager rights.

To send a finalised or incoming request:

- ① Open a finalised or incoming request.
- ② The request is displayed. At the bottom of the page, click **Send**.



For more information about the request lifecycle, see chapter 3.2 Request Lifecycle

The screenshot illustrates the process of rejecting a request in the IMS system. The process is numbered 1 to 4:

- 1**: Select the request ID **50356** in the **List of requests** table.
- 2**: Click the **Reject** button in the action bar.
- 3**: Enter **Rejection reasons** in the **Reject request** form.
- 4**: Click the **Reject** button in the **Reject request** form.

The **List of requests** table shows the following data:

Request ID	Reference number - OLAF	Date of last change	Status
50356	EMFF / BE / 5SM / 2015 / 130011	31/07/2015 16:25:07	Sent to BE_512

The **Reject request** form shows the following data:

Rejection reasons	Cancel rejection
Information missing	Reject

Figure 43: Reject a request

19.2 Reject Request

To reject a request:

- ① Open a finalised or incoming request.
- ② Click **Reject** to reject the request.
- ③ The 'Rejection reason' field is displayed. Enter a reason for rejection.
- ④ The **Reject** button is displayed, click it to reject the request.



For more information about sending and rejecting requests as a part of the request lifecycle, see chapter 3.2 Request Lifecycle.



You must give a reason for rejection.



A request that was sent to OLAF cannot be rejected anymore.

20. Functions for Country Officers

20.1 View and change the reporting structure

Home Cases Requests Search Export/Import status Administration ▾ My info

Administration

- View Reporting structure **1**
- Change Reporting structure
- Change ownership
- Manage reference data

Manage Reporting structure ▾

- Change ownership
- Manage reference data

View Reporting structure

- Change Reporting structure

Reporting structure **2**

Country: BE - Belgium Fund: CF - Cohesion Fund

Organisation: BE_CUSTOMS_EDW - &EDW Programming period: All programming periods

Reset

Legend: ■ ■

Fund	Programming period	Reporting structure 3
CF Cohesion Fund	1989-1993 1989-1993	CHG > LEV3 > ANTHR > EDW > CUSTOMS > OLAF
CF Cohesion Fund	1994-1999 1994-1999	CHG > LEV3 > ANTHR > EDW > CUSTOMS > OLAF
CF Cohesion Fund	2000-2006 2000-2006	CHG > LEV3 > ANTHR > EDW > CUSTOMS > OLAF
CF Cohesion Fund	2007-2013 2007-2013	CHG > LEV3 > ANTHR > EDW > CUSTOMS > OLAF
CF Cohesion Fund	2014-2020 2014-2020	CHG > LEV3 > ANTHR > EDW > CUSTOMS > OLAF

Showing 1 to 5 of 5 record(s) Page size 20 < 1 >

Roll over an organisation short name, to display the full organisation name.

Programming period

1989-1993
1989-1993

BE_CUSTOMS_EDW_LEV3_CHG
- BE_CUSTOMS_EDW_LEV5 - BE_CUSTOMS

CHG > LEV3 >

As a country officer, you can view the reporting structure.

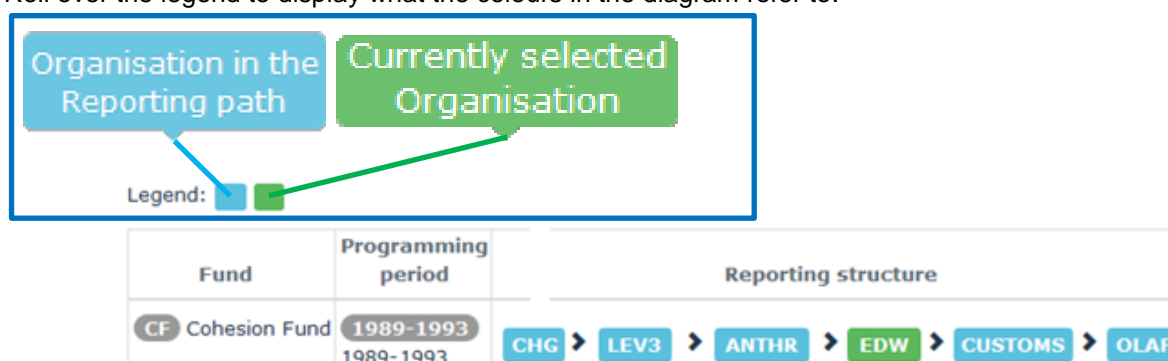
you can also change the reporting structure, i.e. change the next organisation on the reporting path, for a given reporting authority.

20.1.1 View Reporting Structure

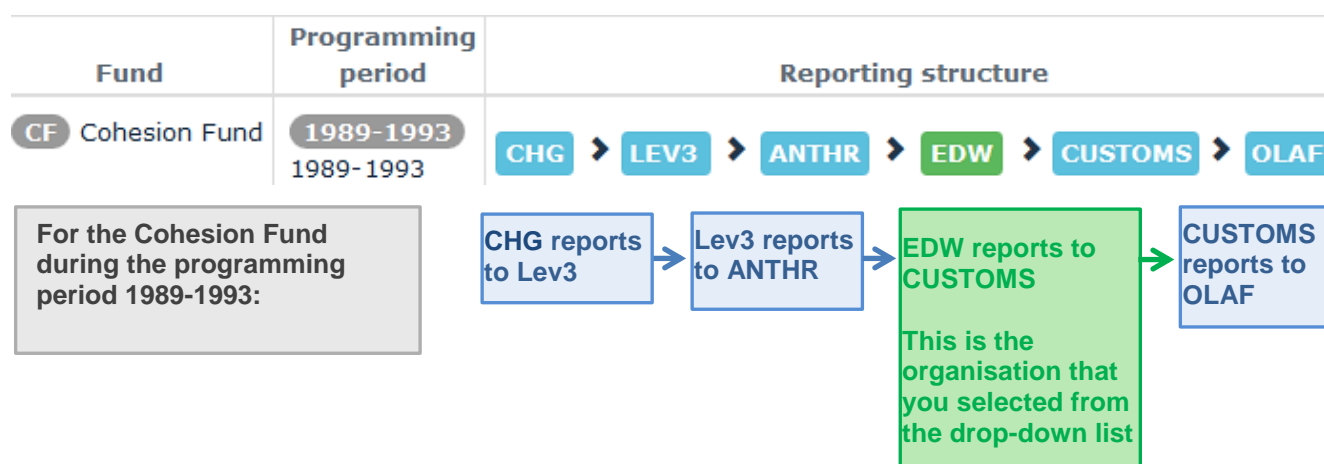
To view the reporting structure of an organisation:

- 1 Click the 'View Reporting structure' link on the IMS homepage, or under the 'Administration' tab .
- 2 The 'Reporting structure' page is displayed. You can filter the displayed reports by selecting a country, organisation, fund or programming period from the drop-down lists.
- 3 The organisations are listed in a table.

Roll over the legend to display what the colours in the diagram refer to:



The reporting structure in this example is as follows:



Administration

- View Reporting structure
- Change Reporting structure**
- Change ownership
- Manage reference data

Reporting structure

Please select an Organisation to change: BE-I2 BE-Intermediate1

Report to: EC_OLAF European Anti-Fraud Office

For fund(s): EAGF/EAFRD European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development

And for programming period(s): 2014-2020 2014-2020

Change Reporting path

Change successfully performed

Figure 44: Change reporting structure

Before changing the reporting path		
EAGF/EAFRD European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	2007-2013 2007-2013	BE-SM > BE-I1 > BE-I2 > BE-CA > OLAF

After changing the reporting path		
EAGF/EAFRD European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	2014-2020 2014-2020	BE-SM > BE-I1 > BE-I2 > OLAF

Figure 45: Changing reporting path- before and after

20.1.2 Change Reporting Structure

To change the reporting structure:

① Go to the 'Reporting structure' page via the 'Change Reporting structure' link on the homepage or via the drop-down list.

② The fields on the 'Reporting structure' are initially not displayed. The next field only becomes visible after you have selected a value in the previous field.

Select the organisation from which change the reporting path, from the 'Select an Organisation to change' drop-down list. This list contains all the organisations in your country.

③ Select organisation that the previously selected organisation should now report to from the Report to' drop-down list.

④ Select for which programming periods this change should apply from the 'For fund(s)' drop-down list. The list contains all funds accessible to the selected organisation.

⑤ Select for which programming periods this change should apply from the 'And for programming period(s)' drop-down list. The list contains programming periods corresponding to the selected funds.

⑥ After you have selected values from all the drop-down lists, the **Change reporting path** button is displayed. Click it to change the ownership.

20.1.3 Request history

All the pending requests of the organisation whose reporting structure was changed are reset to draft. No changes are applied to requests with other statuses. A new entry is added in the history of the request, to show:

Action: Draft

Initiator/Sender: the short name of the organisation to which the user making the change of reporting structure belongs.

For example:

- If the user making the change is the country officer and the organisation is BE_ORG1, the initiator shall be shown as ORG1.
- If the user making the change is the administrator and the organisation is EC_OLAF, the initiator shall be shown as OLAF.

Receiver: the short name of the organisation whose reporting structure is changed. For example, if the organisation is BE_ORG1, then the receiver is shown as ORG1.

Date: the date when the change was performed. Date format: DD/MM/YYYY hh:mm:ss.

Rejected/Recreated request ID: no value.

Remarks on the action: the fact that the reporting structure was changed and the request was reset to draft should be mentioned: "Reporting structure changed - request reset to draft".

[Home](#) [Cases](#) [Requests](#) [Search](#) [Export / Import status](#) [Administration](#) ▾**Administration**

View Reporting structure
Change Reporting structure
Change ownership
Manage reference data

[Manage Reporting structure](#) ▸**Change ownership**[Manage reference data](#)[Home](#) [Cases](#) [Requests](#) [Search](#) [Export / Import status](#) [Administration](#) ▾ [My info](#)**Change case and request ownership**

Please select an Organisation to change

Select an Organisation

Change case and request ownershipPlease select an
Organisation to change

BE-I1 BE-Intermediate1

For fund(s)

EAGF/EAFRD
European Agricultural Guarantee Fund / European
Agricultural Fund for Rural DevelopmentAnd for programming
period(s)

2007-2013 2007-2013

New Owner

BE-CA BE-Central

Change ownership

Ownership changed successfully

20.2 Change Ownership

As a country officer, you can change the initiating authority, i.e. the owner of an existing case / request. This is necessary for example when an organisation is removed from URT.

To change the ownership from one organisation to another:

① Go to the 'Change Ownership' page via the link on the homepage or via the drop-down list.

② The fields on the 'Change case and request' are initially not displayed. The next field only becomes visible after you have selected a value in the previous field.

Select the organisation from which you want to move ownership to another organisation, from the 'Select an Organisation to change' drop-down list. This list contains all the organisations in your country.

③ Select the funds for which ownership should be changed to another organisation from the 'For fund(s)' drop-down list. The list contains all funds accessible to the selected organisation.

④ Select for which programming periods for which ownership should be changed from the 'And for programming period(s)' drop-down list. The list contains programming periods corresponding to the selected funds.

⑤ Select the organisation that should be the new initiating authority, i.e. be the new owner; from the 'New initiating authority' drop-down list. The list contains all organisations in your country that have the selected funds and programming periods (the same competence as the organisation to change).

⑥ After you have selected values from all the drop-down lists, the **Change ownership** button is displayed. Click it to change the ownership.

Home

Cases

Requests

Search

Export / Import status

History entries

Case version	Action	Initiator/Sender	Date	Request ID
1	Update	OLAF	22/10/2015 14:37:24	
1	Create	Level1	22/10/2015 13:58:01	59061

Showing 1 to 2 of 2 record(s) Page size 20

Back

Figure 46: Change of ownership reflected on case history

Request history

Action	Initiator/Sender	Receiver	Date	Rejected / Recreated request ID	Remarks on the action
Sent to OLAF	OLAF	OLAF	22/10/2015 14:37:24		Initiating authority changed from BE_Level1 to BE_Level2CF
Sent to OLAF	Level1	OLAF	22/10/2015 13:58:01		

Showing 1 to 2 of 2 record(s) Page size 20

Figure 47: Change of ownership reflected on request history

20.2.1 Case History after Ownership Change

The change of ownership affects the history of the case.

For more information on viewing the case history see chapter 13.1.2 View Case History.

The change of ownership will be reflected in the case history in the following way (see Figure 46: Change of ownership reflected on case history):

- The **case version** does not change (1). You will see 2 lines with the same case version number.
- The action is **Update** (2).
- The **initiator/sender** is the organisation to which the user making the change of ownership belongs (3).

20.2.2 Requests after the Ownership Change

The change of ownership affects the requests that are part of a case that changed ownership).

Pending requests are set back to drafts and will belong to the new initiating authority organisation. The OLAF Reference number as seen in these requests is changed, to show the new Initiating authority.

For the requests that are in any of the states **Draft, Finalised, Rejected or Sent to OLAF** at the moment of the change of ownership, the OLAF reference number is changed, to show the new Initiating authority.

The request history is as follows(see Figure 47: Change of ownership reflected on request history: **Action**: the status of the request at the time of the change of ownership (draft, finalised, rejected, sent to OLAF).

Initiator/sender: the short name of the organisation to which the user making the change of ownership belongs.

For example:

- If the user making the change is the country officer of *BE_ORG1*, the Initiator shall be shown as *ORG1*.
- If the user making the change is the administrator of *EC_OLAF*, the Initiator shall be shown as *OLAF*.

Receiver: the short name of the organisation that becomes the new initiating authority (that receives the draft).

For example, if the new initiating authority is organisation *BE_ORG1*, then the receiver is shown as *ORG1*.

Date: The date when the change was performed. Date format: DD/MM/YYYY hh:mm:ss

Rejected/Recreated request ID: no value.

Remarks on the action: The fact that the Initiating authority was changed, when a change of ownership is made should be mentioned.

The message should also show the old and new Initiating authority: "Initiating authority changed from [Organisation Short name] to [Organisation Short name] - request reset to draft".

For example, if the ownership is changed from *BE_ORG1* to *BE_ORG2*, the message should be: "Initiating authority changed from *BE_ORG1* to *BE_ORG2*."

Home Cases Requests Search Export / Import status Administration ▾

Administration

View Reporting structure
Change Reporting structure
Change ownership
Manage reference data

Manage Reporting structure ▸

Change ownership

Manage reference data

1

Home Cases Requests Search Export / Import status Administration ▾ My info

Codelist Fund 2 ▾ **Activate manual reordering** 0

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input checked="" type="checkbox"/>	Edit
2	1002	EAGF/EAFRD	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	<input checked="" type="checkbox"/>	Edit
3	1003	EAGF	European Agricultural Guarantee Fund	European Agricultural Guarantee Fund	<input checked="" type="checkbox"/>	Edit
4	1004	EAFRD	European Agricultural Fund for Rural Development	European Agricultural Fund for Rural Development	<input checked="" type="checkbox"/>	Edit
5	1005	CARDS	Community Assistance for Reconstruction, Development and Stabilisation	Community Assistance for Reconstruction, Development and Stabilisation	<input checked="" type="checkbox"/>	Edit
6	1006	CBC	Cross-Border Cooperation	Cross-Border Cooperation	<input checked="" type="checkbox"/>	Edit

3

6	1006	CBC	Cross-Border Cooperation	Cross-Border Cooperation	<input type="checkbox"/> 0	Edit
---	------	-----	--------------------------	--------------------------	----------------------------	----------------------

20.3 Manage reference data

As a country officer, you can view and change IMS reference data, such as: field names, codelist values and warning/error messages. You can also translate the data from English to one of the other official EU languages.

20.3.1 View Management reference data

You can view all the reference data available in IMS on the 'Manage reference data' page:

- ❶ Click the management reference data link on the IMS homepage or from the drop-down list.
- ❷ The reference data is listed in a table. The displayed data depends on the codelist that you select from the dropdown list.

The following information is displayed:

sortIndex: automatic sequence number per codelist value.


ID: unique identification number of the value.

Code: the business code of the value.

Description in English: the business description of the value in English.

Description in: the business description of the value in a selected language.

Language: you can select a language from the drop-down list; It contains all languages available on the AFIS Portal. By default, English is selected.

Active: by default, all the values are active (). The user has the option to deactivate a value and, if needed, reactivate it again by clicking the button. (❸).

When a value is made inactive, it is no longer available at the creation of requests. However, if a value has already been used in a request/case and then it is made inactive, it remains visible in read-only mode in those requests/cases.

Actions: the user has the option to translate the values from English to another language of choice. For doing this, the user shall edit the value, enter the translation for the code or for the description or for both, and then save.

If the user does not want to save the change, the option to cancel shall also be available.

Codelist Fund ▾ **Activate manual reordering** ☐ 0

Codelists 1

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input type="checkbox"/>	Edit

Codelist Fund ▾ **Activate manual reordering** ☐ 0

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input type="checkbox"/>	Save Cancel

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum Migration and other Funds	<input type="checkbox"/>	Save Cancel

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum Migration and other Funds	<input type="checkbox"/>	Edit

20.3.2 Change Values in the Codelist

To change the values for an item in the codelist:

- ① Click the **Edit** button next to the item that you want to change.
- ② You can change the code and the description.
- ③ After changing the values, click **Save**, or **Cancel** to stop editing the values.
- ④ The value changes are displayed in the codelist.

19	1019	IPARD	Rural Development	Rural Development	<input type="text" value=" "/>	<input type="text" value="0"/>	Edit
20	1020	ISF	Internal Security Fund	Internal Security Fund	<input type="text" value=" "/>	<input type="text" value="0"/>	Edit

Showing 20 of 20 record(s)

Add new value

1

<input type="text" value=" "/>	<input type="text" value="0"/>	Save
<input type="text" value=" "/>	<input type="text" value="0"/>	Cancel

Showing 20 of 20 record(s)

Add new value

NV	New Value	<input type="text" value=" "/>	<input type="text" value="0"/>	Save
NV	New Value	<input type="text" value=" "/>	<input type="text" value="0"/>	Cancel

Showing 20 of 20 record(s)

Add new value

NV	New Value	<input type="text" value=" "/>	<input type="text" value="0"/>	Save
NV	New Value	<input type="text" value=" "/>	<input type="text" value="0"/>	Cancel

Showing 20 of 20 record(s)

Add new value

28	1028	YEI	Youth Employment Initiative	Youth Employment Initiative	<input type="text" value=" "/>	<input type="text" value="0"/>	Edit
2900000	1029	NV	New Value	New Value	<input type="text" value=" "/>	<input type="text" value="0"/>	Edit

Showing 29 of 29 record(s)

Add new value

20.3.3 Add new Codelist values

You can add new values to any codelist (business code and description).

- ① At the bottom of the page, click the **Add new value** button.
- ② Key in the necessary information.
- ③ Click the ☐ button to set it to ☒ if you want the new item to be active (i.e. if you want it to be available in the request form).
- ④ Click **Save** to save the new value.
- ⑤ The new value is added at the bottom of the list.



You can only add new values in English. If you are working in a different language, the system shall display an error message: 'To add a new value, select the English language.' You have to switch back to English first. After adding the new codelist value, you can translate it.

[Home](#)
[Cases](#)
[Requests](#)
[Search](#)
[Export / Import status](#)
[Administration ▾](#)
[My info](#)

Codelist

Activate manual reordering
☐

Codelists						
sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input checked="" type="checkbox"/>	Edit

Codelist

Fund 1 **Activate manual reordering** ☐

Codelists

sortIndex	Id	Code	Description in English	Description in English	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input type="checkbox"/>	Edit

Codelist

Fund 1 **Activate manual reordering** ☒

Codelists

sortIndex	Id	Code	Description in English	Description in English	Active	Actions
1	1001	AMF	Asylum and Migration Fund	Asylum and Migration Fund	<input checked="" type="checkbox"/>	Edit
2	1002	EAGF/EAFRD	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	<input checked="" type="checkbox"/>	Edit
3	1003	EAGF	European Agricultural Guarantee Fund	European Agricultural Guarantee Fund	<input checked="" type="checkbox"/>	Edit

Codelist

Fund 2 **Activate manual reordering** ☒

Codelists

sortIndex	Id	Code	Description in English	Description in English	Active	Actions
1	1001	AMF	Asylum Migration Fund	Asylum Migration Fund	<input checked="" type="checkbox"/>	Edit
2			Guarantee Fund / European Agricultural Fund for Rural Development	Guarantee Fund / European Agricultural Fund for Rural Development	<input checked="" type="checkbox"/>	Edit
3	1003	EAGF	European Agricultural Guarantee Fund	European Agricultural Guarantee Fund	<input checked="" type="checkbox"/>	Edit

Codelist

Fund 3 **Activate manual reordering** ☒

Codelists


sortIndex	Id	Code	Description in English	Description in English	Active	Actions
200000	1002	EAGF/EAFRD	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	European Agricultural Guarantee Fund / European Agricultural Fund for Rural Development	<input checked="" type="checkbox"/>	Edit
250000	1001	AMF	Asylum Migration Fund	Asylum Migration Fund	<input checked="" type="checkbox"/>	Edit
300000	1003	EAGF	European Agricultural Guarantee Fund	European Agricultural Guarantee Fund	<input checked="" type="checkbox"/>	Edit

Figure 48: Change codelist order

20.3.4 Reorder Codelist Values

You can also change the order of the values of any codelist. If you do this, the users will see a differently sorted list in the reporting form. In this example we will sort change the order of the 'Funds' drop down list.

To change the order of the values:

- ① Click the **Activate manual reordering** button to set it to 
- ② Click the item that you want to put in a different place on the list and drag it to where you want to place it.
- ③ The items are rearranged to reflect the changes you just made.

Codelist 1 Fund ▾ Activate manual reordering ☐ 0

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
200000	1001	AMF	Asylum Migration Fund	Asylum Migration Fund	<input checked="" type="checkbox"/>	Edit

2

Codelists

sortIndex	Id	Code	Description in English	Description in English ▾	Active	Actions
200000	1001	AMF	Asylum Migration Fund	<div style="border: 1px solid blue; padding: 5px;"> English French Greek Dutch </div>	<input checked="" type="checkbox"/>	Edit

3

Codelists

sortIndex	Id	Code	Description in English	Description in Dutch ▾	Active	Actions
200000	1001	AMF	Asylum Migration Fund		<input checked="" type="checkbox"/>	Save Cancel

4

Codelists

sortIndex	Id	Code	Description in English	Description in Dutch ▾	Active	Actions
200000	1001	AMF	Asylum Migration Fund	Asiel Migratie Fonds	<input checked="" type="checkbox"/>	Edit

5

20.3.5 Translate Codelists

You can translate the values in the drop-down list as available on the request page.



You should only translate values into the official European language of your country.

- ① While displaying the codelist that you want to make changes to, click the 'Description' in dropdown list to select the language that you want to add translations for. The available languages are...
- ② The 'Description in' field will be set to the selected language. It will either already contain a translation in the selected language or be empty.
- ③ Click the **Edit** button to edit the existing translation or to add one.
- ④ The description in field becomes an entry field. Enter the translation and click **Save**.
- ⑤ The translation is added to the 'Description in ' field for the selected language.

Codelist APPLICATION TRANSLATIONS 1

Activate manual reordering ☐ 0

Codelists						
sortIndex	Id	Code	Description in English	Description in English 2	Active	Actions
100	200001	CRE_INI_REQ_IDENTIFICATION_	Identification	Identification	<input type="checkbox"/>	Edit
100	200002	CRE_INI_REQ_REFNUM.OLAF	Reference number - OI AF *	Reference number - OI AF *	<input type="checkbox"/>	Edit

Codelists 3

sortIndex	Id	Code	Description in English	Description in Dutch 4	Active	Actions
100	200001	CRE_INI_REQ_IDENTIFICATION_	Identification		<input type="checkbox"/>	Edit 6

Codelists

sortIndex	Id	Code	Description in English	Description in Dutch 5	Active	Actions
100	200001	CRE_INI_REQ_IDENTIFI	Identification		<input type="checkbox"/>	Save Cancel 7

Codelist APPLICATION TRANSLATIONS 1

Activate manual reordering ☐ 0

Codelists						
sortIndex	Id	Code	Description in English	Description in Dutch 2	Active	Actions
100	200001	CRE_INI_REQ_IDENTIFICATION_	Identification	Identificatie 7	<input type="checkbox"/>	Edit

20.3.6 Application Translations

You can also translate the labels, warnings, error messages and buttons as available on the request page.



You should only translate values into the official European language of your country.

- ① You must first select 'APPLICATION TRANSLATIONS'.
- ② The codelist is displayed. Click the 'Description' in dropdown list to select the language that you want to add translations for. All languages available in URT are selectable
- ③ The 'Description in' field will be set to the selected language. It will either already contain a translation in the selected language or be empty.
- ④ Click the **Edit** button to edit the existing translation or to add one.
- ⑤ The 'Code' and 'Description in' fields become entry fields.
- ⑥ Enter the translation and click **Save**.
- ⑦ The translation is added to the 'Description in' field for the selected language.

21. Support Team Contact Information

In case of problems, please contact your local administrator or the AFIS Service Desk:

AFIS Service Desk	
Address: Rue Joseph II, 30/B-1049 Brussels	
Tel: +32 2 296 27 27	Internet e-mail: olaf-afis-it-help-desk@ec.europa.eu
	MAB mailbox: EC-OLAF-IT