

IMS

Irregularity Management System

User Manual 2: IMS-users and their roles

Subject	IMS users and their roles
Version / State	0.2/ Draft
Release Date	24/10/2018
Document Reference	AFIS-IMS-UserManual-about users and user roles.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

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>This manual is meant to describe the features of IMS.</p>	<p>Irregularity Management System (IMS)</p>

Number of pages	Number of lines	Host system	Software
56	4366	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	15/10/2018	Aligned introduction and contact pages, final review business owner	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	How to connect to AFIS Portal using Secure Internet connection	6.0	12/07/2017
RD2	How to connect to AFIS Portal using CCN	How to connect to AFIS Portal using CCN	4.0	14/07/2017
RD3	AFIS Portal User Manual	AFIS-APM-UserManual.docx	6.0	29/01/2018

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About this Manual

The initial IMS-manual which was released in 2016 became too big, therefore it has been split up into booklets. Each booklet is a manual which deals with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

 Warning! Very important information, please read carefully.

 Tip to improve a working practice

This manual concerns "IMS-users and their roles". The different types of IMS-users and their tasks, competences and so forth are described.

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Requirements to report irregularities provide such information. You will find the handbook also on ALIB and CIRCABC.

	Role	Description
Country	Observer	User in a reporting authority who has the right to consult IMS-data (requests and cases) created or received by that reporting authority.
	Creator	User in a reporting authority who has : <ul style="list-style-type: none"> ▪ observer rights ▪ the right to create requests (and to make them available to the manager to send the requests to the next reporting authority on the reporting path).
	Manager	User in a reporting authority who has <ul style="list-style-type: none"> ▪ observer rights ▪ creator rights ▪ the task to perform quality checks on requests ▪ the right to send requests to the next reporting authority on the reporting path.
	Country Officer	IMS-manager of a Level-1-Reporting Authority of a country who has <ul style="list-style-type: none"> ▪ observer rights ▪ creator rights ▪ manager rights ▪ administrator rights to manage: <ul style="list-style-type: none"> ○ the reporting structure of the country ○ data-ownership ○ the reference data

1. Introduction

IMS went into production in 2008 and introduced reporting authorities and a cascaded reporting structure which made it possible to feed IMS at different levels with data and to perform at different levels checks on the reliability and completeness of the data.

The idea is that the reporting authorities apply the four-eyes-principle: one person puts the data into IMS and another person checks and approves that input before it is send. For that reason, the roles of IMS-creator and IMS-manager have been created. The IMS-creator puts the data in IMS and the IMS-manager checks, approves and sends it to the next level.

Experience learned that there is always a need to give persons, who are not directly involved in the reporting process, read-only-access to the data. For that reason the role of IMS-observer has been created. An IMS-observer has read-only-access to the data thus cannot modify or delete data.

The roles of IMS-manager, IMS-creator and IMS-observer were introduced in 2008.

In 2016, a new version of IMS was put in production. IMS was completely redesigned and rewritten with new software in order to make it, from an IT-technical-point, future-ready. The use of new software made it also possible to create new features and new roles. One of the new roles is the role of IMS-country-officer, an “administrator” on national level.

In this manual, the different roles will be explained and the rights they have to perform their work.

This manual will first provide an overview of all rights a user can exercise.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

2. User rights and tasks

The table on the left hand side provides an overview of all rights which an IMS-user, depending on his role, can have. Rights, of course, implies also task and duties.

CREATE – create a request

Reporting starts with a request to open a case. By clicking the button CREATE REQUEST, the creator starts the process of irregularity reporting. IMS will open the "report" as described in article 3(2) of the different implementing acts: *In the initial report Member States shall provide the following information:*

SAVE AS DRAFT - save request as draft

Saving a request as draft implies that the creator saved the data in IMS and can still modify it.

DELETE – delete draft request (manual deletion)

A request saved as DRAFT can be deleted by the creator by pushing the button DELETE.

FINALISE – save request as finalised

Saving a request as finalised means that the report cannot be changed anymore. A manager can send it to the next level or reject it.

APPROVE – approve request

A finalised request needs to be processed by the manager. The manager has the option to APPROVE or to REJECT the request. An approved request can be send to the next level while a rejected request will be send back to the creator.

SEND – send request

By pushing the button SEND, the manager submits the approved request to the next level.

REJECT – reject request

A request which is disapproved by the manager should be returned to the creator. By pushing the button REJECT, the request is rejected and returns to the creator. The manager needs to indicate the reason(s) of rejection otherwise it will not be possible to send the rejected request to the creator.

The creator has 2 possibilities:

1. to delete the rejected request
2. to update the rejected request

DELETE – delete rejected request

The creator of a request can remove a rejected request by a push on the button DELETE. All data will be deleted.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

RECREATE – recreate rejected request

The creator of a rejected request can by pushing the button RECREATE modify the rejected request. The process "create a request" starts again. The request will get the status DRAFT.

SEARCH – search for requests

IMS offers the possibility to search for cases and to search for requests. Put in your search criteria push the button SEARCH and IMS will perform a search. The results of the search will be displayed as soon as the search has been completed. If you do not put in any search criteria, IMS will display all cases or all requests.

LIST – list requests

Requests are listed on the different tab pages of IMS. The requests can be sorted by clicking on the column headings of the different tab pages.

VIEW – view request

A request can be viewed by clicking on the number of the request. The number is marked green.

VIEW HISTORY – view request history

By clicking on the button VIEW HISTORY, the history of a case will be shown. All requests concerning the case will be displayed and by clicking on the number of a request (right column), the content of that request will be displayed. If you click on the value in one of the other columns (case version, action, initiator/sender, date), IMS will provide you with an overview what has been changed in comparison to the previous request including old and new values.

PRINT – print request

By clicking on the button PRINT, the request can be printed on paper or in PDF. Just select your preference.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

SEARCH – search for cases

IMS offers the possibility to search for cases. Put in your search criteria push the button SEARCH and IMS will perform a search. The results of the search will be displayed as soon as the search has been completed. If you do not put in any search criteria, IMS will display all cases.

LIST – list cases

Cases are listed on the different tab pages of IMS. The cases can be sorted by clicking on the column headings of the different tab pages.

VIEW – view case

A case can be viewed by clicking on the CASE ID-number of the case. The number is marked green.

VIEW HISTORY – view case history

By clicking on the button VIEW HISTORY, the history of a case will be shown. All requests concerning the case will be displayed and by clicking on the number of a request (right column), the content of that request will be displayed. If you click on the value in one of the other columns (case version, action, initiator/sender, date), IMS will provide you with an overview what has been changed in comparison to the previous request including old and new values.

PRINT – print case

By clicking on the button PRINT, the case can be printed on paper or in PDF. Just select your preference.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

IMPORT – import request as draft

IMS offers the possibility to import requests which have been created in excel. Importing a request as draft implies that you save the request as draft in IMS. This means that you can still modify it in IMS. It also means that the creator still needs to finalise the request by pushing the button FINALISE and that the manager still needs to approve the request and, in case of approval, to push the button SEND or, in case of disapproval, the button REJECT.

IMPORT – as finalised

IMS offers the possibility to import requests which have been created in excel. Importing a request as finalised implies that you save it as finalised in IMS. This means that you cannot modify the data anymore. The manager needs to approve the request and to SEND or REJECT it.

IMPORT – as sent

IMS offers the possibility to import requests which have been created in excel. Importing a request as sent implies that you save it as sent in IMS. This means that the request is immediately sent to the next level. You import the request in IMS and IMS sends it directly to the next level. The data cannot be modified anymore unless a manager of a higher level rejects the request.

Importing a request "as sent" can only be done by a manager. A creator does not have the rights to send a request.

IMPORT – dry run

IMS offers the possibility to import requests which have been created in excel. The "dry run" option offers the possibility to check the content of the import-file before it (really) is imported in IMS. By performing a dry run, IMS checks if the import-file fulfils all conditions and provides feedback. You are strongly advised to perform dry runs because it will make it possible to create an import file without mistakes.

IMPORT – import with warnings

IMS offers the possibility to import requests which have been created in excel. IMS makes a distinction between errors and mistakes. Requests with errors cannot be imported in IMS while requests with mistakes can be imported.

An example of an error is for instance the use of a non-existing code. IMS will not allow you to import a file with errors. You will get an error message in which the request and its error is described.

An example of a mistake is for instance a miscalculation ($1+1=3$). You can opt to import request with a mistake by moving the switchbox to "import with warnings".

More detailed information on importing an excel file can be found in the Manual Excel export and import.

EXPORT – export request

IMS offers the possibility to export a request. By selecting a request and pushing the button EXPORT the request will be exported in excel.

EXPORT – export case

IMS offers the possibility to export a case. By selecting a request and pushing the button EXPORT the request will be exported in excel.

More detailed information on importing an excel file can be found in the Manual Excel export and import.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

REPORTING STRUCTURE – view

IMS-country-officers have the possibility to view the reporting structure and reporting path of their country directly in IMS.

IMS shows for which fund(s) and programming period(s) a reporting authority is reporting cases of irregularities and to whom it sends those cases and from whom it receives cases.

REPORTING STRUCTURE – change

IMS-country-officers have the possibility to change the reporting structure and reporting path of their country directly in IMS.

DATA-OWNERSHIP – change ownership of requests and cases

The data-ownership belongs to the reporting authority in which the initial report was created. It can happen that the data-ownership needs to be changed due to for instance a change in the administration of a country. An IMS-country-officer can change the data-ownership of a case, including all its requests.

MANAGE COMPETENCE – manage organisation competence

Competence is one of the pillars on which IMS is based. The competences are:

1. Agriculture
2. Asylum
3. Cohesion
4. Fishery
5. Most-deprived
6. Neighbourhood
7. Pre-accession

A reporting authority has one or more competences for which it can report cases of irregularities, send cases of irregularities and can access already reported cases of irregularities. No competence implies no access.

The IMS-country-officer can manage the competences of a reporting authority and its users.

MANAGE COMPETENCE – manage funds and programming periods

Funds and programming periods are two other pillars on which IMS is based.

The IMS-country-officer can manage the competences of a reporting authority and its users.

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

MANAGE REFERENCE DATA – codelists

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

A codelist is a list of valid codes and decoded values for a variable. The purpose of a codelist is to ensure that data values comply with controlled terminology. Examples of an IMS-codelist are the list of funds, list of countries, irregularity typology and so forth.

IMS is available in all EU-languages. The master version is the English version for which OLAF is competent. For all other language versions counts that the IMS-country-officer of the "originating country" is competent thus responsible to keep them up-to-date and correct.

MANAGE REFERENCE DATA – translations

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

A codelist is a list of valid codes and decoded values for a variable. The purpose of a codelist is to ensure that data values comply with controlled terminology. Examples of an IMS-codelist are the list of funds, list of countries, irregularity typology and so forth.

IMS is available in all EU-languages. The master version is the English version for which OLAF is competent. For all other language versions counts that the IMS-country-officer of the "originating country" is competent thus responsible to keep them up-to-date and correct.

MANAGE REFERENCE DATA – budget lines

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

The budget lines are based on the DGAGRI-nomenclature which is compiled per year. The final version of a nomenclature concerning year n is established in the period April – May of year n+1. This final version is based on the expenditures which actually took place as reported by the Member States.

MANAGE REFERENCE DATA – CCI-related data

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

The CCI-codes are based on the SFC-data:

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

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

<https://ec.europa.eu/sfc/en>

MANAGE REFERENCE DATA – NUTS-values

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

The NUTS-values are based on EUROSTAT's NUTS classification (Nomenclature of territorial units for statistics) is a hierarchical system for dividing up the economic territory of the EU.

<https://ec.europa.eu/eurostat/web/nuts/background>

Role									
Right	Creator	Manager	Country Officer	Observer	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Create request	x	x	x						
Save request as draft	x	x	x						
Delete draft request (manual deletion)	x	x	x						
Finalise request	x	x	x						
Approve request		x	x		x				
Send request		x	x		x	x			
Reject request		x	x		x				
Delete rejected request (manual deletion)	x	x	x			x			
Recreate rejected request	x	x	x			x			
Search for requests	x	x	x	x	x	x	x		
List requests	x	x	x	x	x	x	x		
View request	x	x	x	x	x	x	x		
View request history	x	x	x	x	x	x	x		
Print request	x	x	x	x	x	x	x		
Search for cases	x	x	x	x	x	x	x		
List cases	x	x	x	x	x	x	x		
View case	x	x	x	x	x	x	x		
View case history	x	x	x	x	x	x	x		
Print case	x	x	x	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			x	
Import dry run	x	x	x					x	
Import with warnings	x	x	x					x	
Export request	x	x	x	x	x	x	x		
Export case	x	x	x	x	x	x	x		
View Reporting structure			x					x	
Change Reporting structure			x					x	
Change ownership of requests and cases			x					x	
Manage Organisation competence			x					x	
Manage funds and programming periods			x					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	
Make case expired									x
Delete anonymised case (automatic deletion)									x
Send e-mail notifications									x
Auditing / Logging									x

EXPIRED – Make case expired

A closed case gets the status EXPIRED automatically n-years after its closure, taking into account the programming period and the closure of the programme and project.

The status "expired" implies that a case needs to be anonymised, meaning that all personal data needs to be deleted.

The system actor can change manually the status of a closed case into "expired" after which the OLAF manager can anonymise the case (four-eyes-principle).

ANONYMISED – Delete anonymised cases (automatic deletion)

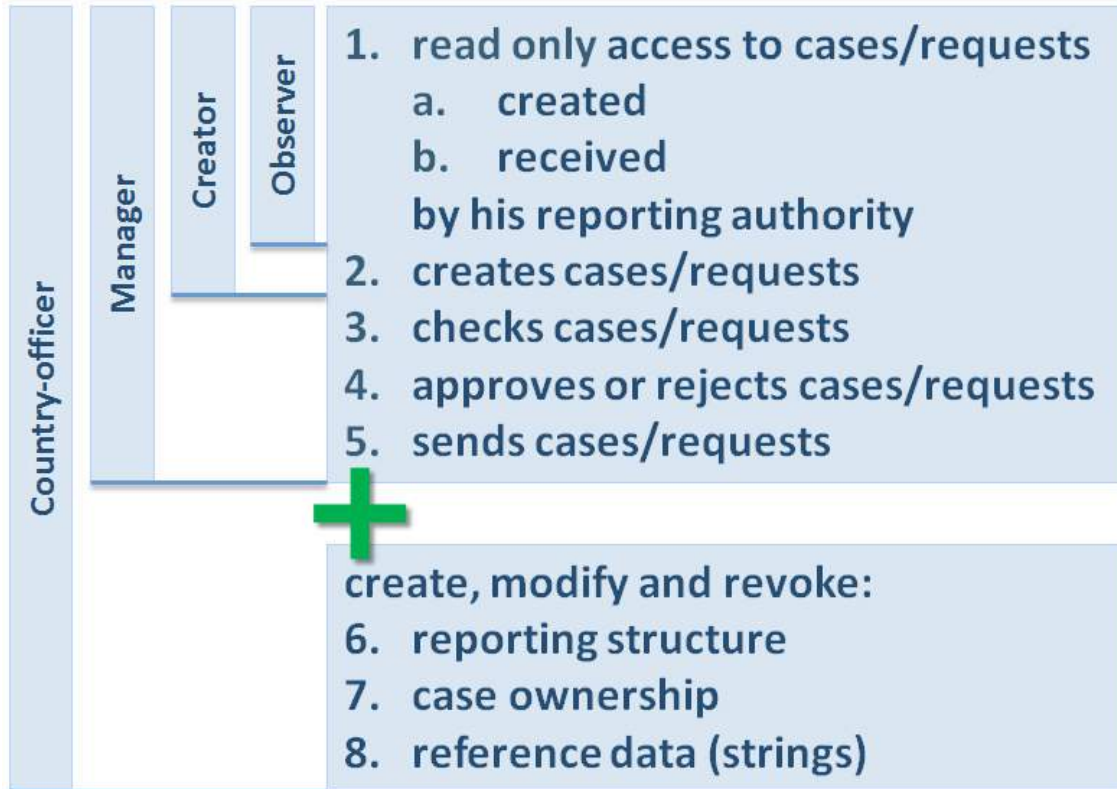
The system actor can delete an anonymised case.

NOTIFICATION – Send e-mail notifications

IMS can send e-mail notifications automatically. The system actor manages this facility.

AUDIT – Auditing / Logging

IMS creates an audit trail and logs all activities. The system actor has access to this information thus can check who did what and when.



3. User roles in a country

Users of a Reporting Authorities (RA) in a country can have one of the following roles:

- Observer
- Creator
- Manager
- Country-Officer

Ad Observer

An observer has the right to observe the IMS information (requests and cases) which has been

1. created
2. received

by the reporting authority to which he belongs.

There is no limit on the number of observers per reporting authority.

Ad Creator

A creator has the same rights as an observer but can also create a request. The manual "Request to create a case" provides a detailed explanation on how to create a request.

There is no limit on the number of creators per reporting authority.

Ad Manager

A manager has the same rights as a creator but can also send a request to the next level in a reporting structure or, in case the manager disapproves with the content of the request, reject the request which implies that it will be send back to the creator.

There is no limit on the number of managers per reporting authority



Every reporting authority should have at least one manager. Without a manager, the request cannot be submitted to the next level or to the Commission.

Ad Country-officer

An IMS-country-officer has the same rights as a manager, but has also the rights:

1. to create, modify and revoke the reporting structure of a country
2. to change the case ownership
3. to change the reference data



Per country, only one Country-officer (plus one back-up-officer) can be appointed.

In short, a creator puts the data in IMS while the manager approves and sends it to the next level.

Role	Creator
Right	
Create request	x
Save request as draft	x
Delete draft request (manual deletion)	x
Finalise request	x
Delete rejected request (manual deletion)	x
Recreate rejected request	x
Search for requests	x
List requests	x
View request	x
View request history	x
Print request	x
Search for cases	x
List cases	x
View case	x
View case history	x
Print case	x
Import request as draft	x
Import request as finalised	x
Import dry run	x
Import with warnings	x
Export request	x
Export case	x

3.1 Role creator

The creator starts the process of irregularity reporting by clicking on CREATE REQUEST. IMS will then offer 3 options:

1. Create initial request
2. Create initial request – closed case
3. Create zero notification

one of the three options needs to be chosen in order to start the reporting process.

The creator can save a request as draft or finalised. As long as a request has the status draft, the request can be edited, including deletion, by the creator.

As soon as the creator pushes the button FINALISE, the request cannot be edited anymore. It will then be up to the manager to decide what to do with the request.

The role of creator is the basis of the reporting process. Detailed information on the reporting process, thus on the creator's role, can be found in the manuals

1. create a case
2. update, close, reopen and cancel a case

In these manuals you will find a detailed description of the reporting process and what is expected from the creator and, to a lesser extent, from the manager.

The creator rights are listed in the table on the left hand side which have been explained in chapter 2 User rights and tasks.

Role	Manager
Right	
Create request	x
Save request as draft	x
Delete draft request (manual deletion)	x
Finalise request	x
Approve request	x
Send request	x
Reject request	x
Delete rejected request (manual deletion)	x
Recreate rejected request	x
Search for requests	x
List requests	x
View request	x
View request history	x
Print request	x
Search for cases	x
List cases	x
View case	x
View case history	x
Print case	x
Import request as draft	x
Import request as finalised	x
Import request as sent	x
Import dry run	x
Import with warnings	x
Export request	x
Export case	x

3.2 Role manager

3.2.1 Introduction

A manager has the same rights as an observer and creator. A manager can "see" all cases and requests which have been received or created by his reporting authority. A manager can also create a request.

The table on the left hand side provides an overview of the "rights" of a manager. These rights have been explained in chapter 2 User rights and tasks.

A manager can, like an observer, view cases. A manager can also, like a creator, create requests.

On top of that, a manager can:

1. send a request
2. reject a request

this can be an incoming request or a finalised request created by a creator of his reporting authority.

3.2.2 Core responsibility



One of the core responsibilities of the manager is the approval of the requests which need to be submitted to the next level in the reporting chain. The manager needs to verify the request on reliability and completeness, including compliance with the reporting obligations, before pushing the button SEND.

The manager needs to approve the requests which are stored under the tab pages INCOMING and FINALISED.

The manager needs to take into account the reporting obligations as stipulated in the applicable regulations. The "Handbook on Reporting of irregularities in shared management 2017" provides an in-depth explanation of the reporting obligations.

The "Handbook on Reporting of irregularities in shared management 2017" is a working document prepared by the European Anti-Fraud Office (OLAF) assisted by a group of Member States' experts under the Advisory Committee for Coordination of Fraud Prevention (COCOLAF) — Reporting and Analysis Group. It is intended to streamline Member States' obligation to report irregularities to the Commission under European Union (EU) law. It clarifies the obligations under EU law but does not change them. The document is without prejudice to the interpretation of the Court of Justice in relation to these obligations.

The "Handbook on Reporting of irregularities in shared management 2017" can be downloaded from ALIB and CIRCABC. The IMS-country-officers and IMS-liaison-officers received a digital copy of this handbook.

1

The screenshot shows the main dashboard of the Irregularity Management System. At the top, there are navigation tabs: Home, Cases, Requests (highlighted), Search, and Report / Report status. Below these are status indicators for various request stages: Incoming (23), Outgoing (0), Finalised (0), Rejected (7), Draft (0), Case Notation (72), Sent to OCM (11802), and All. A search bar is located below the navigation. The main content area is titled 'List of requests' and contains a table with the following data:

Request ID	Reference number - OI/OI	Reference number - subject	Request type	Date of last change	Created	Status
11474	GUD/HJ/0/2009/8	3834HMFCCG/000008	Cancel	18/10/2017 10:16:45	HJ_ASDP	Sent by HJ_WCCS
11477	GUD/HJ/0/2009/25	3534HMFCCG/000034	Cancel	18/10/2017 10:16:45	HJ_ASDP	Sent by HJ_WCCS

2

A horizontal toolbar containing seven buttons: Send, Reject, Approve request, View history, Print, Export, and Back.

3

The 'Reject request' form features a title bar, a 'Rejection reasons' label, a large text input area with a 4000 character limit, and a 'Cancel rejection' button.

One of the core responsibilities of the manager is the approval of the requests which need to be submitted to the next level in the reporting chain. The manager needs to verify the data on:

1. reliability
 2. completeness
 3. compliance with the reporting obligations
- before pushing the button SEND.

The manager needs to approve the requests which are stored under the tab pages

1. INCOMING
 2. FINALISED
- (see image 1)

Incoming requests are requests which are sent by a lower in the reporting chain placed reporting authority. The header of the tab page INCOMING indicates how many requests are awaiting the processing by a manager. In the example is 26 requests indicated. The manager needs to open the tab page and process the awaiting requests.

Finalised requests are requests created by a creator of the reporting authority to which the manager also belongs. A creator created the request and the manager needs to approve it before it will be send to the next level in the reporting chain. The header of the tab page FINALISED indicates the number of requests that are awaiting the processing by a manager.

The manager checks the requests saved in the tab pages INCOMING and FINALISED.

The manager opens the request by clicking on the REQUEST ID and performs the checks. An option could also be to export the request(s) and to check the request(s) in excel.

The manager has 2 options:

1. Reject
 2. Send
- (see image 2)

Ad 1. REJECT

The manager needs to push the button REJECT if a request is incomplete or incorrect. IMS will ask the manager to put in the rejection reasons in order to inform the creator why the request was rejected.

The process in keypoints:

1. Open a finalised or incoming request.
 2. Click **REJECT** to reject the request.
 3. The field 'Rejection reasons' is displayed. Enter a reason for rejection.
 4. Click **REJECT** to reject the request.
- (see image 3)

Ad 2. SEND

The manager can push the button SEND if the request is complete, reliable and compliant with the reporting obligations. The request will then be submitted to the next level in the reporting chain.

On each level in the reporting chain, the request is checked on reliability, completeness and compliance with the reporting obligations.

By pushing the button SEND, the manager also approves the request. The button APPROVE REQUEST can be used to approve the request without sending it to the next level.

Role	Observer
Right	
Search for requests	x
List requests	x
View request	x
View request history	x
Print request	x
Search for cases	x
List cases	x
View case	x
View case history	x
Print case	x
Export request	x
Export case	x

3.3 Role observer

An observer can observe all IMS-data as far as it concerns requests and cases which have been

1. created
2. received

by the reporting authority to which the observer belongs.

An observer cannot change the data.

The table on the left hand side provides an overview of the "rights" of a manager. These rights have been explained in chapter 2 User rights and tasks.

Role	Country Officer
Create request	x
Save request as draft	x
Delete draft request (manual deletion)	x
Finalise request	x
Approve request	x
Send request	x
Reject request	x
Delete rejected request (manual deletion)	x
Recreate rejected request	x
Search for requests	x
List requests	x
View request	x
View request history	x
Print request	x
Search for cases	x
List cases	x
View case	x
View case history	x
Print case	x
Import request as draft	x
Import request as finalised	x
Import request as sent	x
Import dry run	x
Import with warnings	x
Export request	x
Export case	x
View Reporting structure	x
Change Reporting structure	x
Change ownership of requests and cases	x
Manage Organisation competence	x
Manage funds and programming periods	x
Manage reference data – codelists	x
Manage reference data – translations	x

3.4 Role country-officer

3.4.1 Introduction

The role of IMS-country-officer was introduced together with IMS5 (1 April 2016). New software made it possible to grant far more competences to Member States, candidate countries and third countries. The role of IMS-country-officer has been created to execute those competences. It can be expected that in the coming years the IMS-country-officers will get more competences. Think for instance at the request from Member States to have the possibility to "switch off/on" fields, created on request of some Member States, which do not belong to regulatory reporting obligations.

Per country, only one (1) IMS-country-officer can be appointed. The country-officer-competences need to be in the hands on one person due to their nature. An IMS-country-officer has administrator rights which implies that he can interfere directly in the database. Of course, the IMS-country-officer can have a back-up-officer in case the IMS-country-officer is not available due to for instance leave.

An IMS-country-officer is a level-1 IMS-manager with special rights, related to:

1. Reporting structure (to view, create, modify and revoke)
2. Case ownership (to change)
3. Reference data (to modify)

These special rights are in the tab page ADMINISTRATION to which only an IMS-country-officer has access.

Of course, an IMS-country-officer has also the same rights as an observer, creator and manager. An IMS-country-officer can access all cases and requests which have been received or created by his reporting authority. An IMS-country-officer can also create, reject and send a request.

The table on the left hand side provides an overview of the "rights" of a country-officer. These rights have been explained in chapter 2 User rights and tasks.

1

The screenshot shows the top navigation bar with 'Home', 'Import status', and 'Administration' menus. The 'Administration' menu is expanded, showing a list of options. The 'View Reporting structure' option is highlighted with a yellow box.

2

The screenshot shows the 'Administration' menu expanded. The 'View Reporting structure' and 'Change Reporting structure' options are highlighted with a yellow box.

3

Fund	Programming period	Reporting structure
Y.E.I Youth Employment Initiative	2014-2020 2014-2020	BSMEPA > MEET > AFCOS > OLAF

3.4.2 Managing reporting structure

The User Registration Tool (URT) is used, as the name already indicates, to register all IMS-users. In URT, the details of all reporting authorities and IMS-users are registered. Once a reporting authority is registered in URT, the reporting structure can be set up and managed in IMS.

To set up, manage or view a reporting structure, you go to the tab page ADMINISTRATION and select one of the following options:

1. View reporting structure
2. Change reporting structure

As you already know, IMS offers several ways to get to the different sub menus. You can get there via the home page where in the box ADMINISTRATION the different options are displayed. By clicking on VIEW REPORTING STRUCTURE, IMS will bring you to the page on which the reporting structures are displayed.

You can also click in the header on the tab page ADMINISTRATION and a similar sub menu will be displayed in which you can click then on VIEW REPORTING STRUCTURE. A sub menu will be displayed and if you move your mouse then to MANAGE REPORTING STRUCTURE, another sub menu will be displayed with the options VIEW REPORTING STRUCTURE and CHANGE REPORTING STRUCTURE.

(see images 1 and 2)

View reporting structure

By clicking on VIEW REPORTING STRUCTURE, you will be able to view the reporting structure of your country. You can fine tune it on the level of fund, programming period and, of course, reporting authority.

Example MEET

The example used on the left hand page concerns MEET, which is a Bulgarian reporting authority responsible for the fund Youth Employment Initiative (YEI) for the programming period PP2014-2020.

The reporting path is displayed by selecting

- fund
- reporting authority
- programming period



Fund
YEI - Youth Employment Initiative

Organisation
BG_MEET - Ministry of Economy, Energy and Touri...

Programming period
2014-2020 - 2014-2020

Reporting authority MEET receives requests from reporting authority BSMEPA and sends requests to reporting authority AFCOS, which then sends requests to OLAF. Of course, reporting authority MEET can also create requests by itself.

(see image 3)

1

The screenshot shows the IMS dashboard with a green header containing 'Home', 'Import status', 'Administration', and 'My Info'. The 'Administration' menu is open, displaying a list of options: 'View Reporting structure', 'Change Reporting structure' (highlighted with a yellow box), 'Change ownership', 'Manage Organisational competences', 'Manage funds and programming periods', and 'Manage reference data'. The 'Import status' menu is also visible, containing 'Import requests' and 'View Import status'.

2

This screenshot shows the 'Administration' dropdown menu expanded. The menu items are: 'Manage Reporting structure', 'Change ownership', 'Manage Organisational competences', 'Manage funds and programming periods', 'Manage reference data', and 'Admin IMS jobs'. The 'Change Reporting structure' option is highlighted with a yellow box. The 'View Reporting structure' option is also visible in a separate box to the right.

3

Reporting structure

Select an Organisation to change

BG_MEET Ministry of Economy, Energy and Tourism x ▼

Report to

EC_OLAF European Anti-Fraud Office x ▼

For fund(s)

YEI Youth Employment Initiative ▼

And for programming period(s)

2014-2020 2014-2020 ▼

Change Reporting path

Change reporting structure

By clicking on CHANGE REPORTING STRUCTURE, you will be able to CHANGE the reporting structure of your country. You need to fine tune it on the level of fund, programming period and reporting authority.

(see images 1 and 2)

Example MEET (see image 3):

The example used on the left hand page concerns again RA MEET, the Bulgarian reporting authority (RA) that reports to the Bulgarian AFCOS:


Fund	Programming period	Reporting structure
YEI Youth Employment Initiative	2014-2020 2014-2020	BSMEPA > MEET > AFCOS > OLAF

By clicking on CHANGE REPORTING STRUCTURE, a new screen will be displayed on which you will be asked to indicate:

1. reporting authority of which you want the change the reporting path (RA MEET)
2. reporting authority to which RA MEET should report from now on
3. funds, for which you want to apply this reporting path
4. programming period, for which you want to apply this reporting path

by clicking on the button CHANGE REPORTING PATH the change will become immediately effective:

Fund	Programming period	Reporting structure
YEI Youth Employment Initiative	2014-2020 2014-2020	BSMEPA > MEET > OLAF

 Pending requests are requests which are not yet received and approved by OLAF. Such data is not yet part of the case(data). A change of the reporting path has an impact on all pending requests of the reporting authority of which you changed the reporting path. The status of all pending requests will be changed into DRAFT which implies that the creator needs to finalise (again) such a request and that a manager needs to approve it (again) and send it (again) to the next level. This counts also for all pending requests sent via the reporting authority of which you changed the reporting path. In the MEET-example, the pending requests of reporting authority BSMEPA which were sent by MEET to AFCOS will also get again the status DRAFT.

Of course, this resetting of the status of a request is logged which implies that it can be found back in the history.

1

The screenshot shows the main navigation bar with 'Home', 'Import status', and 'Administration' (with a dropdown arrow). A 'My info' button is on the right. Below the navigation bar, there are two main panels. The left panel is titled 'Administration' and contains a list of options: 'View Reporting structure', 'Change Reporting structure', 'Change ownership' (highlighted with a yellow box), 'Manage Organisation competences', 'Manage funds and programming periods', and 'Manage reference data'. The right panel is titled 'Import status' and contains 'Import requests' and 'View Import status'.

2

The screenshot shows the 'Administration' dropdown menu open. The navigation bar now shows 'Home', 'Import status', and 'Administration' (with a dropdown arrow). The dropdown menu is green and contains the following items: 'Manage Reporting structure', 'Change ownership' (highlighted with a yellow box), 'Manage Organisation competences', 'Manage funds and programming periods', 'Manage reference data', and 'Admin IMS jobs'. The 'My info' button remains on the right of the navigation bar.

3

Change case and request ownership

Select an Organisation to change

BG_MEET Ministry of Economy, Energy and Tourism
✕ ▼

For fund(s)

YEI Youth Employment Initiative
▼

And for programming period(s)

2014-2020 2014-2020
▼

New Owner

BG_AFCOS AFCOS - BULGARIA
✕ ▼

Change ownership

3.4.3 Change ownership

The owner of a case is the reporting authority that initiated the case. To say it in IMS-terms, the creator of a case is the owner of the data.

An IMS-country-officer can change the ownership of a case. This could be necessary if, for instance, a reorganisation takes place in your country and the reporting authority that created the case is merged with another reporting authority.

To change the ownership, you click on CHANGE OWNERSHIP. You can do that via the home page menu and via the tab page administration (see images 1 and 2).

By clicking on CHANGE OWNERSHIP, a new screen will be displayed on which you will be asked to indicate:

1. reporting authority of which you want to change the ownership
2. funds, for which you want to change the ownership
3. programming periods, for which you want to the change the ownership
4. reporting authority which should be the new owner of the cases

by clicking on the button CHANGE OWNERSHIP the change will become immediately effective. (see image 3)



Pending requests are requests which are not yet received and approved by OLAF. Such data is not yet part of the case (data). A change of the ownership has an impact on all pending requests. The status of all pending requests will be changed into DRAFT which implies that the creator needs to finalise (again) such a request and that a manager needs to approve it (again) and send it (again) to the next level. This counts also for all pending requests sent via the reporting authority of which you changed the reporting path. In the MEET-example, the pending requests of reporting authority BSMEPA which were sent by MEET to AFCOS will also get again the status DRAFT.

Of course, this resetting of the status of a request is logged which implies that it can be found back in the history.

1

The screenshot shows the top navigation bar with 'Home', 'Import status', and 'Administration' menus. The 'Administration' menu is expanded, showing a list of options: 'View Reporting structure', 'Change Reporting structure', 'Change ownership', 'Manage Organisation competences', 'Manage funds and programming periods', and 'Manage reference data'. The 'Manage reference data' option is highlighted with a yellow box.

2

The screenshot shows the 'Administration' dropdown menu expanded. The options are: 'Manage Reporting structure', 'Change ownership', 'Manage Organisation competences', 'Manage funds and programming periods', 'Manage reference data', and 'Admin IMS jobs'. The 'Manage reference data' option is highlighted with a yellow box.

3

The screenshot shows the 'Code lists' section of the IMS interface. The 'Country' dropdown is set to 'COUNTRY'. The 'Activate manual reordering' checkbox is unchecked, with a '0' next to it. Below is a table of country codes and descriptions.

ID	code	Description in English	Description in English	Active	Action
2001	AL	Albania	Albania	<input checked="" type="checkbox"/>	EDIT
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	EDIT
2003	BA	Bosnia and Herzegovina	Bosnia and Herzegovina	<input checked="" type="checkbox"/>	EDIT
2004	BE	Belgium	Belgium	<input checked="" type="checkbox"/>	EDIT
2005	BG	Bulgaria	Bulgaria	<input checked="" type="checkbox"/>	EDIT
2006	CY	Cyprus	Cyprus	<input checked="" type="checkbox"/>	EDIT
2007	CZ	Czech Republic	Czech Republic	<input checked="" type="checkbox"/>	EDIT
2008	DE	Germany	Germany	<input checked="" type="checkbox"/>	EDIT

3.4.4 Manage Reference data

Reference data are data that define the set of permissible values to be used by other data fields. Think of data such as fieldnames, codelists, warning messages and error messages.

IMS is available in all EU-languages. The master version is the English version for which OLAF is competent. For all other language versions counts that the IMS-country-officer of the "originating country" is responsible. As an IMS-country-officer, you can view and change IMS reference data. You can translate the data into your language. You can change the order of the codelist values, you can exclude values and you can add values.



A codelist is any list used throughout the application such as the list of funds (drop-down-list) or the list of countries (multiple-select-list). The values in each codelist have a business code and a description. For example: **AL – Albania**, where **AL** is the business code and **Albania** the description).

View reference data

You can view all the reference data available in IMS on the tabpage **MANAGE REFERENCE DATA**.

You can open the tabpage **MANAGE REFERENCE DATA** by:

1. selecting **MANAGE REFERENCE DATA** in the box **ADMINISTRATION** on the homepage
2. by clicking on **ADMINISTRATION** in the header and then clicking on **MANAGE REFERENCE DATA**.

(see images 1 and 2)

The box **CODELIST** provides a drop-down-list of all codelists. In the example, the drop-down-list **COUNTRY** has been selected (see image 3).

You will see the following information:

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. You can select a language from the drop-down list. By default, English is selected.
Active	: An option is ACTIVE or INACTIVE . ACTIVE is indicated by <input checked="" type="checkbox"/> while INACTIVE is indicated by <input type="checkbox"/> . If you make a value 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.



An IMS-country-officer has the following options:

1. to change the order of the options
2. to activate or inactivate an option
3. to edit an option
4. to add a new value

1

Home Import status Administration ▾ My info

Codelist Country ▾ Activate manual reordering

Home Import status Administration ▾ My info

Codelist Country ▾ Activate manual reordering

2

Home Import status Administration ▾ My info

Codelist Country ▾ Activate manual reordering

Codelists

Id	Code	Description in English	Description in English ▾	Active	Actions
2001	AL	Albania	Albania	<input checked="" type="checkbox"/>	Edit
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	Edit
2003	BA	Bosnia and Herzegovina	Bosnia and Herzegovina	<input checked="" type="checkbox"/>	Edit

Codelists

Id	Code	Description in English	Description in English ▾	Active	Actions
2001	AL	Albania	Albania	<input checked="" type="checkbox"/>	Edit
2003	BA	Bosnia and Herzegovina	Bosnia and Herzegovina	<input checked="" type="checkbox"/>	Edit
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	Edit

Ad 1. to change the order of the options

As an IMS-country-officer, you can change the order of the codelists in order to have listed on top the options which are used most frequently by your country.

As example, the codelist country is used:



1. activate the manual reordering by clicking on the button which make that the 0 is changed into |.
2. click on the option that you want to move and drag it to the position where you want it. In the example, we moved Austria after Bosnia and Herzegovina.
(see images 1 and 2)

1

Home Import status Administration My info

Codelist: Country Activate manual reordering

Codelists					
ID	Code	Description in English	Description in English	Active	Actions
2001	AL	Albania	Albania	<input type="checkbox"/>	Edit
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	Edit

Ad 2. to activate or inactivate an option

As an IMS-country-officer, you can make an option of the codelists active or inactive.

Every row contains a switchbox to indicate if an option should be

- active by selecting |
- inactive by selecting 0



By default all options are active (|) which means that all options will be displayed and can be used.

By moving the switchbox from | to 0, an option is made inactive which implies that it cannot be used anymore.

Cases which contain options that have been made inactive will not be touched. Information reported in the past will stay in the system even if an option has been made inactive.

In the example, the option Albania is made inactive while the option Austria is active (see image 1).

1

Codelists					
Id	Code	Description in English	Description in English	Active	Actions
2001	AL	Albania	Albania	<input checked="" type="checkbox"/>	Edit

Codelists					
Id	Code	Description in English	Description in English	Active	Actions
2001	<input type="text" value="ACC"/>	Albania	Albania - candidate country	<input checked="" type="checkbox"/>	Save Cancel
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	Edit

Codelists					
Id	Code	Description in English	Description in English	Active	Actions
2001	ACC	Albania	Albania - candidate country	<input checked="" type="checkbox"/>	Edit
2002	AT	Austria	Austria	<input checked="" type="checkbox"/>	Edit

2

Codelists					
Id	Code	Description in English	Description in Dutch	Active	Actions
2001	AL	Albania	Albanie	<input checked="" type="checkbox"/>	Edit

Codelists					
Id	Code	Description in English	Description in Dutch	Active	Actions
2001	<input type="text" value="AL"/>	Albania	Albanie - in Dutch	<input checked="" type="checkbox"/>	Save Cancel
2002	AT	Austria	Oostenrijk	<input checked="" type="checkbox"/>	Edit

Ad 3. to edit an option

As an IMS-country-officer, you can edit an option of the codelists which implies that you can change the description. You can change the CODE and the DESCRIPTION

In the example, the code and the name of Albania was changed into ACC and Albania – candidate country (see image 1).

This can be done by:

1. select the language in which you want to make the change (here: English)

2. click on the button EDIT

3. edit the fields that you want to change

- CODE AL was changed into ACC
- DESCRIPTION Albania was changed into Albania – candidate country

4. Click on SAVE

At the moment, you click SAVE the changes have been implemented in IMS and are also applied on already reported cases.

This feature should also be used to translate IMS into any other language. Just select the language in the column DESCRIPTION IN and put the translation in the field of that column. The rule is that the IMS-country-officer of which the language originates from is competent for the translation, thus the French IMS-country-officer is responsible for the French language version.



1

Home Import status Administration **My info**

Codelist: Country Activate manual reordering:

Codelists

Id	Code	Description in English	Description in English <input type="text"/>	Active	Actions
2001	AL	Albania	Albania	<input type="checkbox"/>	Edit
2036	CH	Switzerland	Switzerland	<input type="checkbox"/>	Edit

Showing 36 of 36 record(s)

Add new value ↑

2

2036	CH	Switzerland	Switzerland	<input type="checkbox"/>	Edit
	FS		Fake States <input type="text"/>	<input type="checkbox"/>	Save Cancel

Showing 36 of 36 record(s)

3

Home Import status Administration **My info**

Codelist: Country Activate manual reordering:

Codelists

Id	Code	Description in English	Description in English <input type="text"/>	Active	Actions
2001	AL	Albania	Albania	<input type="checkbox"/>	Edit
2036	CH	Switzerland	Switzerland	<input type="checkbox"/>	Edit
2037	FS	Fake States	Fake States	<input type="checkbox"/>	Edit

Showing 36 of 36 record(s)

Add new value ↑

Ad 4. to add a new value

As an IMS-country-officer, you can add an option to a codelist.

In the example, the country Fake States has been added to the codelist.

This can be done by:

1. click on the button ADD NEW VALUE (to be found at the bottom of the page)
 2. indicate the code: FS
 3. indicate the description: Fake States
 4. indicate if the option should be active or inactive
 5. click on SAVE
- (see images 1 and 2)



Please be aware that once an option has been added, it cannot be removed anymore. It can be edited or made inactive but not deleted from IMS.

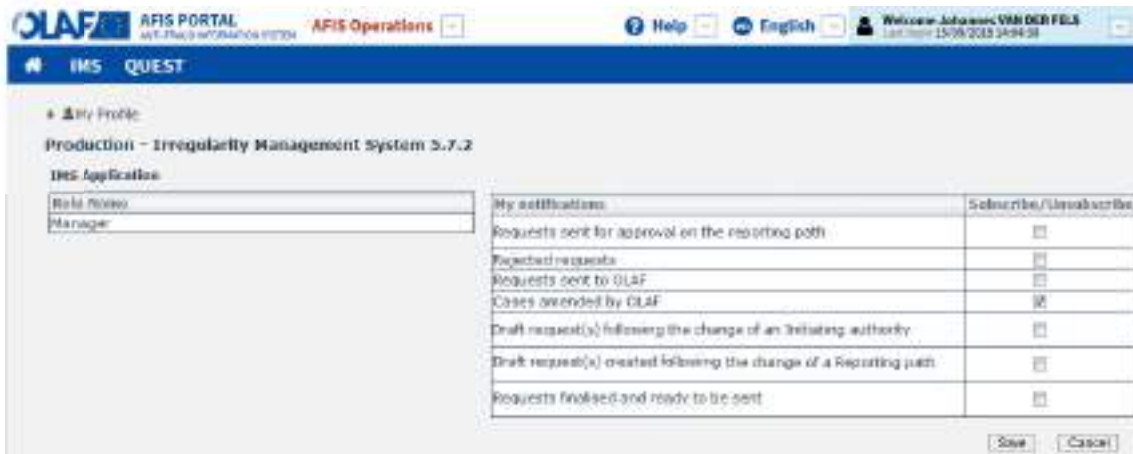
You can only add new values in English. If you are working in a different language, the system shall display an error message: 'To add a new value, select the English language.' You have to switch back to English first. After adding the new codelist value, you can add descriptions in other languages as described above.

The new value is put at the bottom of the list. You can give it a different place in the list by dragging and dropping it as described above (see image 3).

1

	Role	Description
	Commission Observer (EC Observer)	An EC-user who may consult the reported irregularities.
	Commission Officer (EC Officer)	An EC-user who may perform certain actions on the irregularity cases reported by the countries.
	Administrator	An OLAF-user OLAF staff administering and maintaining IMS.
	System actor	An OLAF-user in charge of performing certain actions regarding the IMS data.

2



4. User roles within the Commission

All IMS-users are part of a Reporting Authority (RA), including the users of the European Commission.

IMS-users of the Commission can have one of the following roles:

1. Observer
2. Manager
3. Administrator
4. System Actor

Ad 1. observer

A Commission observer can, like an observer in a country, only access data but not touch it.

The role of Commission manager has only be granted to OLAF staff therefore the role is called OLAF-manager.

Ad 2. Manager

An OLAF-manager can amend the data via a REQUEST TO AMEND A CASE. In such an event, the creator of the case can receive an automatic email notification in which is indicated that OLAF amended a case. Automatic email notifications can be received if you tick the tick box in the menu MY PROFILE (see image 2). Detailed information on the automatic email notification can be found in the manual How to access IMS.

The REQUEST TO AMEND A CASE is similar to a REQUEST TO UPDATE A CASE. The only difference is that updating the privilege is of an IMS-user (of the competent reporting authority) while amending the right is of an OLAF-manager. All amends are logged therefore all users can identify

- cases amended
- fields amended
- old values and new values

Ad 3. Administrator

An administrator is a person who has the rights to

1. import excel files (like a manager and creator of a national reporting authority)
2. manage reporting structure (like a country-officer)
3. manage reference data (like a country-officer)

ad 4. System actor

A system actor is a person who can interact and intervene in IMS. The IMS-system-actor is part of the OLAF-AFIS-IT-Help-Desk thus an IT-technician who uses his skills and competences to intervene in IMS if that is necessary from an IT-technical-aspect.

Role					
Right	OLAF Manager	Commission Officer	Commission Observer	Administrator	System actor
Approve request	x				
Send request	x	x			
Reject request	x				
Delete rejected request (manual deletion)		x			
Recreate rejected request		x			
Search for requests	x	x	x		
List requests	x	x	x		
View request	x	x	x		
View request history	x	x	x		
Print request	x	x	x		
Search for cases	x	x	x		
List cases	x	x	x		
View case	x	x	x		
View case history	x	x	x		
Print case	x	x	x		
Import request as sent	x			x	
Import dry run				x	
Import with warnings				x	
Export request	x	x	x		
Export case	x	x	x		
View Reporting structure				x	
Change Reporting structure				x	
Change ownership of requests and cases				x	
Manage Organisation competence				x	
Manage funds and programming periods				x	
Manage reference data – codelists				x	
Manage reference data – translations				x	
Manage reference data – Budget lines				x	
Manage reference data – CCI-related data				x	
Manage reference data – NUTS values				x	
Make case expired					x
Delete anonymised case (automatic deletion)					x
Send e-mail notifications					x
Auditing / Logging					x

The table on the left hand side provides an overview of the rights of the different Commission users.

5. Support Team Contact Information

Support related to the process of irregularity reporting can be obtained from:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

Use and processing of IMS-information (article 5 of the delegated acts)

1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.

IMS

Irregularity Management System

User Manual 3: Cases and requests

Subject	Cases and requests
Version / State	0.3/ Draft
Release Date	19/10/2018
Document Reference	AFIS-IMS-UserManual-about cases and requests.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

Summary:	Keywords:
<p>IMS is the application that allows the preparation and submission of irregularity reports to the European Commission.</p> <p>This manual is meant to describe</p> <ul style="list-style-type: none"> - the distinction between cases and requests; - the different types of request - the different states of a request - the lifecycle of a request 	<p>Irregularity Management System (IMS)</p>

Number of pages	Number of lines	Host system	Software
30	835	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	19/04/2017	Business owner review	C, D, I, R	All
0.3	2	15/10/2018	Aligned introduction and contact pages, final review	C, D, I, R	All

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

Reference Documents

Ref.	Title	Version	Date	Ref.
RD1	How to connect to AFIS Portal using Secure Internet connection	5.0	19/10/2015	RD2
RD3	How to connect to AFIS Portal using CCN	3.0	19/10/2015	RD4
RD5	AFIS Portal User Manual (AFIS-APM-UM_EN)	4.0	19/10/2015	RD6

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About this Manual

The initial IMS-manual which was released in 2016 became too big, therefore it has been split up into booklets. Each booklet is a manual which deals with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

 Warning! Very important information, please read carefully.

 Tip to improve a working practice.

This manual concerns "Cases and requests". The concept of and the differences between cases and requests will be described.

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Requirements to report irregularities provide such information. You will find the handbook also on ALIB and CIRCABC.



1. About Cases and Requests

1.1 Concept cases and requests

IMS is based on the concept "cases and requests". A case can consist out of many requests because each change, each modification, each amend and each update is done via a request.

IMS knows several types of requests. The name of the request describes the aim of the request:

1. request to create a case
2. request to create and close a case
3. request to update a case
4. request to cancel a case
5. request to close a case
6. request to reopen a case
7. request to amend a case
8. request to anonymise a case
9. zero notification

The request to create a case is the initial report as described in article 3(2) of the different implementing acts:

2. In the initial report Member States shall provide the following information:

All other requests concern follow-up reports as described in article 4 of the different implementing acts.

A request keeps the status requests as long as the request has not been sent to and approved by the European Commission.



Important to know is that OLAF acts as a European Commission service where it concerns the process of irregularity reporting thus "sent to OLAF" means "sent to the European Commission". The name OLAF is used to indicate where the IMS-database is situated (OLAF: secured environment).



At the moment a request to create a cases is received and approved by the Commission, the request data becomes becomes a "case". For all other requests counts that the "request-data" becomes "case-data" as soon as the request has been received and approved by the Commission.

IMS approves almost all requests automatically except:

- a request to close a case
- a request to cancel a case

concerning cohesion and pre-accession funds of programming periods before PP2007-2013.

IMS functions for these funds as an accounting system. The status of these requests will be "sent for OLAF approval".

Type of request		Who can do it?!					
Description	in IMS	observer	creator	manager	country officer	OLAF manager	EC-officer
Request to create a case	create		x	x	x		
Request to create and close a case	create		x	x	x		
Request to update a case	update		x	x	x		
Request to cancel a case	cancel		x	x	x		
Request to close a case	close		x	x	x	x	x
Request to reopen a case	reopen		x	x	x	x	x
Request to amend a case	amend					x	
Request to anonymise a case	anonymise					x	
zero notification	zero notification		x	x	x		

1.2 Request types and case structure

IMS enables you to create several types of requests. The table on the left hand side provides an overview of the types of requests and of the IMS-users who can create such types of requests.

Request to create a case

The request to create a case is the initial request. An irregularity has been discovered and with the request to create a case you start the process of informing the Commission that an irregularity has been committed. You will process all already available information in this initial request. New information can be processed later on, in for instance a request to update a case.

Request to create a case and close a case

The request to create and close a case is also an initial request. The difference is that in this case all national procedures have been completed and finalised, thus no further action is to be expected anymore. You open and close the case at the same time.

The request to create a case is the initial report as described in article 3(2) of the different implementing acts:

2. In the initial report Member States shall provide the following information:

All other requests concern follow-up reports as described in article 4 of the different implementing acts.

Request to update a case

A request to update a case can be made after a case has been created. You go to the case, open it and click on the button UPDATE and you will be able to add or change data.

Request to cancel a case

A request to cancel a case can be made when it becomes clear that an earlier reported irregularity appeared not to be an irregularity due to for instance additional information that became available during an appeal. In such case, the case can be cancelled by doing a request to cancel a case.

Be aware that cancelling a case implies that all data will be deleted except some basic reference data of tab page 1 (such as reference number OLAF etc.). This implies that if you cancel a case by mistake, all data needs to be keyed in again.



Tip: Export the case before you cancel it. If you made a mistake, you can repair the mistake by importing the case that you cancelled.

Unnecessary to say: a case which has been fully recovered should not be cancelled!

Request to close a case

A request to close a case should be made when all national procedures are completed and finalised. This request can also be used to submit the last missing information to the Commission.

Request to reopen a case

A request to reopen a case can be made when a case was closed but new information came available which need to be added in order to have the data correct and complete.

Zero notification

A zero notification is not a real request. It is a message to inform the next level that nothing has to be reported for a specific period. It can be seen as a "courtesy message".

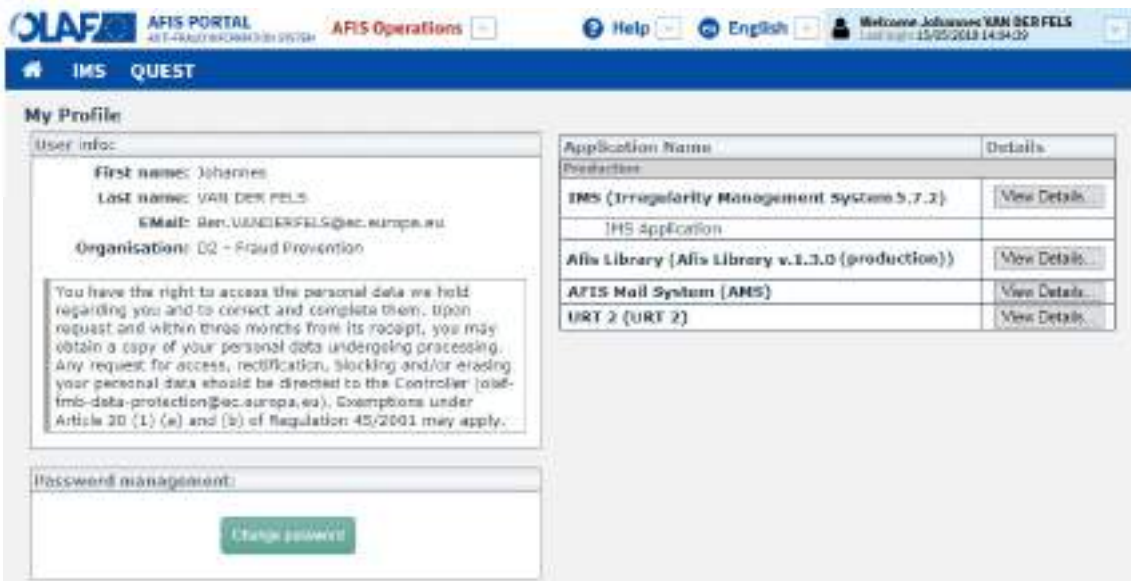
1



2



3



Request to amend a case (only for OLAF-manager)

A request to amend a case can be made by an OLAF-manager. Such requests are made if for instance IMS contains inconsistent data which need to be corrected which can be done on request of the reporting authority concerned or at OLAF's own initiative.

A request to amend a case is comparable with the request to update a case which can be made by you. This type of request has been created for audit purposes. There is a clear distinction between an update made by the creator and an update made by OLAF-staff.



You can see in IMS which cases have been amended by OLAF. Good to know is that IMS can also provide you with an "email notification" if a case for which you are competent has been amended. Just go to the menu MY PROFILE and tick the applicable checkbox in the menu My notifications (see images 1 -3). More information can be found in the manual How to access IMS.

Request to anonymise a case (only for OLAF-manager)

At a certain moment, a closed case expires which implies that all personal data needs to be deleted in order to anonymise the case. That is done via a request to anonymise a case. IMS informs the OLAF-manager that a case expired. The OLAF-manager needs to check the case and approve the anonymisation.

Anonymisation implies that all (free) text fields will be made empty and all attachment will be deleted. Only data of so called "closed fields", thus fields with codes and fields which do not contain free text, will be kept.

OLAF AFIS PORTAL AFIS Operations AFIS Mail Help English

ALIB AMS IMS QUEST URT

Home Cases Requests Search Export / Import status Administrators My Info

Scanning (14) Outgoing (0) Finalised (0) Reported (14) Draft (0) Zero Notification (14) Sent to OLAF (1332) All

Search

List of requests Refresh

Request ID	Reference number - OLAF	Reference number - national	Request type	Date of last change	Creator	STATUS
22300	EAG/EAFRD / EE / 0 / 2008 / 2000	06100	Create	20/11/2008 08:32:18	EE_AR28	Sent to OLAF
22387	EAG/EAFRD / EE / 0 / 2008 / 2005	06103	Update	20/11/2008 09:22:45	EE_AR28	Sent to OLAF
22399	EAG/EAFRD / EE / 0 / 2008 / 2006	06104	Close	20/11/2008 09:59:12	EE_AR28	Sent to OLAF
22581	EAG/EAFRD / EE / 0 / 2008 / 2004	06102	Create	20/11/2008 10:02:47	EE_AR28	Sent to OLAF
22578	EAG/EAFRD / EE / 0 / 2008 / 2005	06101	Create	20/11/2008 10:02:25	EE_AR28	Sent to OLAF
22601	EAG/EAFRD / EE / 0 / 2008 / 2007	06200	Close	20/11/2008 10:44:13	EE_AR28	Sent to OLAF
22601	EAG/EAFRD / EE / 0 / 2008 / 2008	06206	Create	20/11/2008 14:13:03	EE_AR28	Sent to OLAF

1.3 Request status

Throughout its lifecycle, a request may be in one of the following states:

Draft

You create a request and you save it as DRAFT which implies that it has been saved and is still editable. You can still add information and make changes to the already provided information.



Be aware that a draft can only be kept for a maximum period of 6 months. If a draft has not been finalised within six months it will be removed.

Finalised

A finalised request implies that you fully validated it and saved it as FINALISED. You cannot modify the request anymore. It is ready to be checked by the manager after which it can be sent to the next level in the reporting chain or rejected thus going back to you as creator.

Sent

The request has been sent to the next level, which can be an intermediate reporting authority or a level 1 reporting authority.

A request which is sent again, thus after it was rejected and sent back to the creator, gets again the status SENT when the manager sends it to the next level in the reporting chain.

Rejected

The request has been rejected by a manager. This can be the manager of

- the initiating authority
- the intermediate reporting authority
- the level 1 reporting authority
- OLAF

The manager needs to indicate the reason of rejection, without that the request will not be sent back to the creator. The creator can update the request or delete the request.

The OLAF-manager can also reject requests to close, reopen or cancel cases for which IMS functions as accounting system (cohesion and pre-accession funds before PP2007-2013).

Please be aware that a rejected request gets again the status "draft" to make it possible to update the request.

Deleted

The request has been deleted. Be aware that only a draft request can be deleted. A finalised request cannot be deleted. If you want to delete a finalised request, a manager needs to reject the request. The request will get again the status DRAFT thus can be deleted.

Sent to OLAF

The request has been sent to the Commission.



OLAF acts as Commission Service and not as independent investigation service.

Sent for OLAF approval

Only applicable for cohesion and pre-accession funds concerning programming periods before PP2007-2013 for which funds IMS functions as an accounting system.

The request to close, reopen or cancel a case has been sent to the Commission. The Commission needs to decide if the case can be closed, reopened or cancelled. These requests are marked as "Sent for OLAF approval".

Be aware that the approval can take some time due to formal procedures which need to be applied.



1.4 Tab page Request

The requests are displayed on tab page Requests. The tab page contains sub tab pages in order to access the requests quicker and easier. It also helps you to find back the requests on which you still have to work.

Incoming

This tab page contains the requests that have been sent by a lower reporting authority to your reporting authority. The IMS-manager needs to perform a quality check on these requests and on basis of the outcome of that check:

1. approve and send
2. disapprove and reject

Outgoing

This tab page contains the requests that have been sent by your reporting authority but are not yet sent to the Commission. This implies that somewhere in the reporting structure of your country, a reporting authority still needs to approve the request.

Finalised

This tab page contains the requests that have been finalised and are awaiting the check of the IMS-manager after which a decision will follow to send or reject the request.

Rejected

This tab page contains the requests that have been rejected by an IMS-manager thus need to be updated or deleted.



Be aware that a draft can only be kept for a maximum period of 6 months. If a draft has not been finalised within six months it will be removed.

Draft

This tab page contains the requests that still need to be finalised by the IMS-creator.

Zero notification

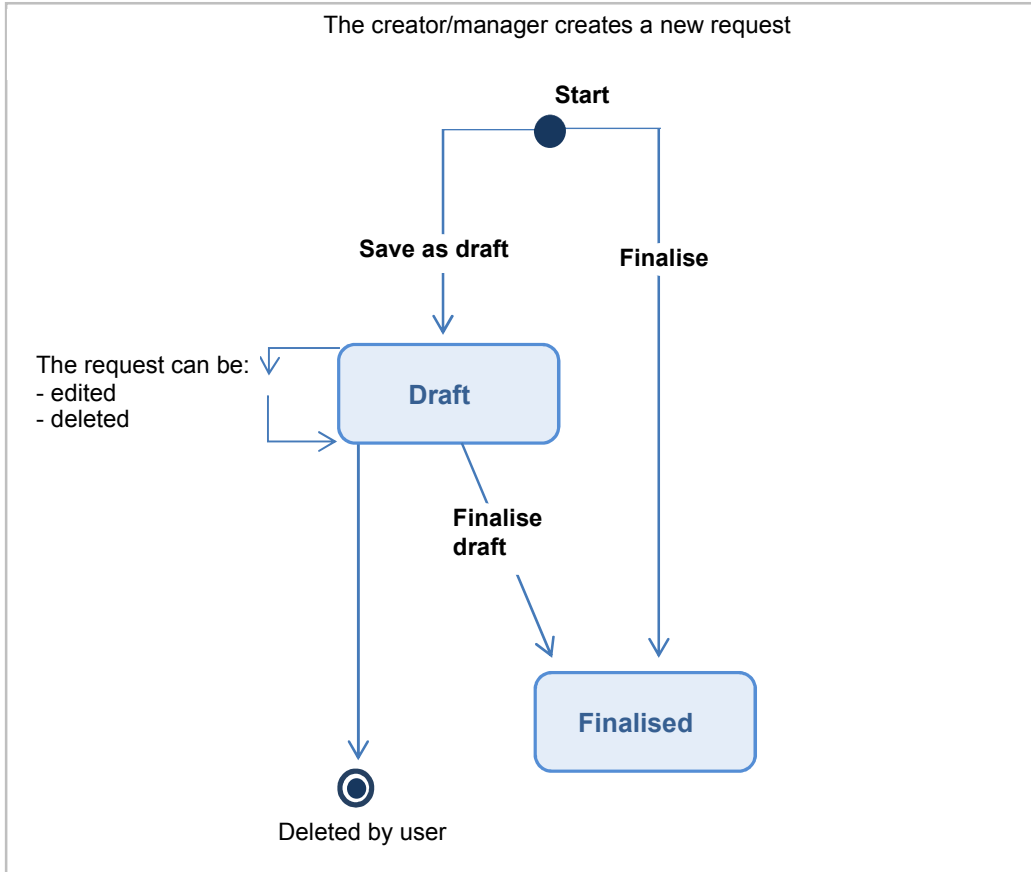
This tab page contains the zero notifications.

Sent to OLAF

This tab page contains the requests that have been sent to the Commission and normally have become "case-data"

All

This tab page contains all requests.



1.5 Request lifecycle

The following paragraphs will provide in diagrams the different lifecycles of a request. It is meant to visualise the process of irregularity reporting.

1.5.1 A creator or manager creates a request

The lifecycle of a request starts with its creation. Information on how to create a request can be found in manual Request to create a case.

You can create a request and after adding all the necessary information, you have two options:

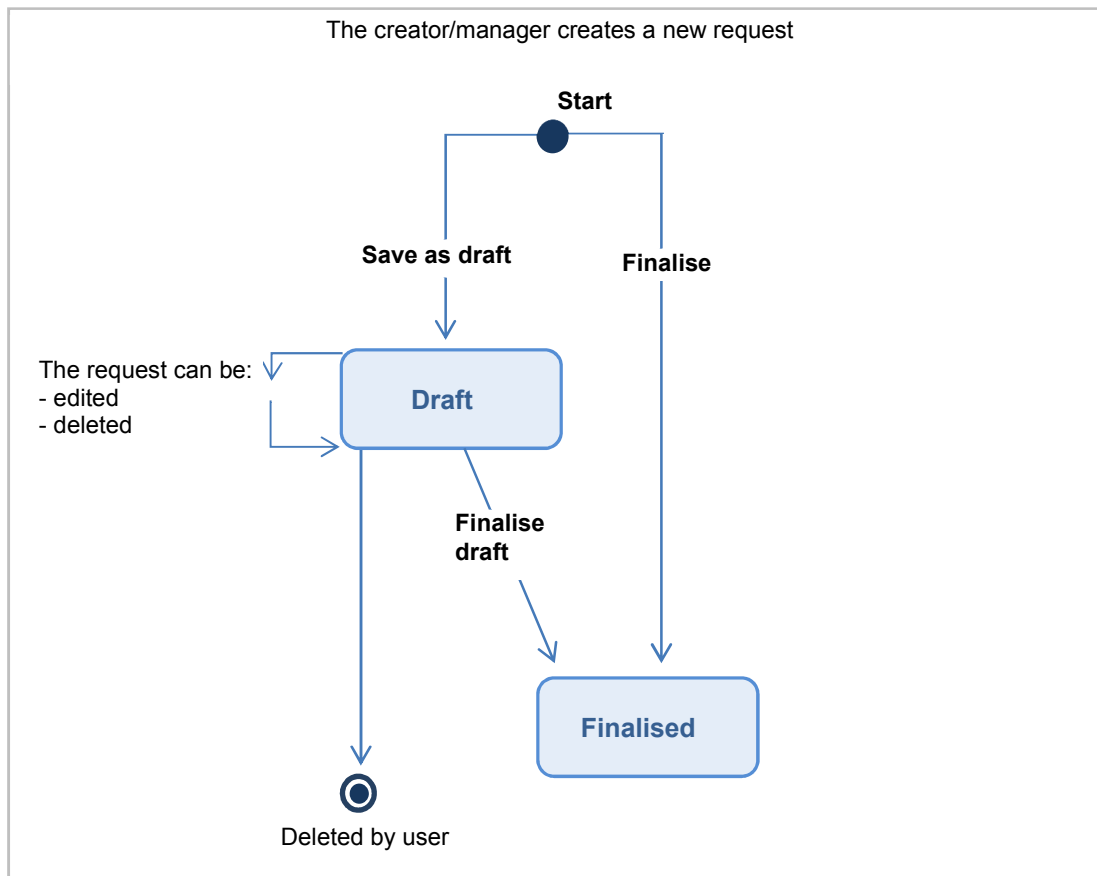
1. to save as draft
2. to save as finalised

You save the request as draft in case you still want to work on it. You save it as finalised when you have completed the request and the IMS-manager needs to perform a quality check before it will be send to the next level.

A draft request can be:

1. saved again as draft
2. saved as finalised
3. deleted

If you delete, all information will go lost. If you finalise the request, you cannot edit it anymore. It is then up to the manager to approve or disapprove the request.





1.5.2 The manager sends or rejects the request

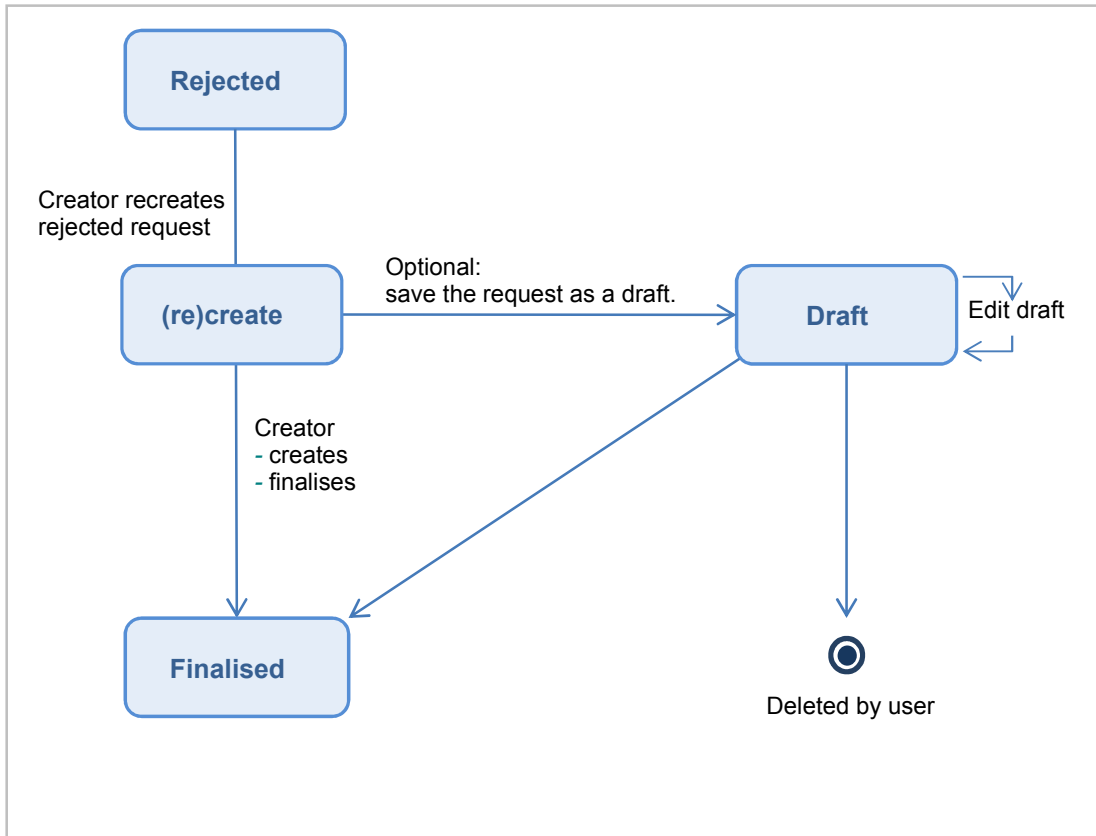
After you finalise a request, an IMS-manager (of your organisation) needs to check the request. After that, the manager has two options:

1. approve and send
2. disapprove and reject

If the manager approves, the manager will have to send it to the next level, this can be an intermediate reporting authority or the Commission, depending on the reporting structure of your country.

If the manager rejects, the manager needs to indicate the rejection reason(s) after which the request will be send back to the creator.

-  For more information about the reporting structure, see chapter 1.6.1 Sending request to OLAF and the request .
-  If you have manager rights you can directly send the request that you have created.

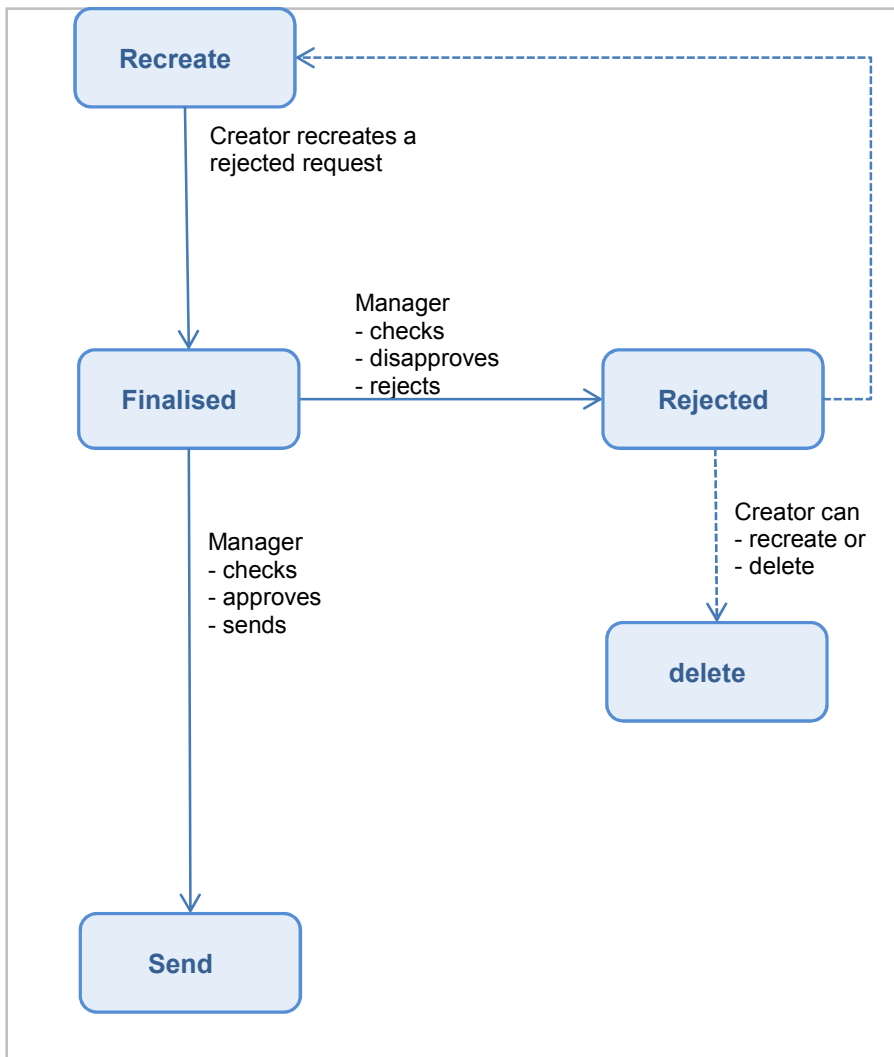


1.5.3 The creator edits and finalises the rejected request

If a manager rejected your request, you must recreate the request and finalise it. The manager will then have to check again the recreated request after which the manager has again the same options:

1. approve and send
2. disapprove and reject

To see which requests were rejected, you go to the 'Requests' page and click the tab 'Rejected'.



1.5.4 The manager sends the (recreated) request

You have recreated the rejected request and finalised it. The manager needs to check again and has then again the same two options:

1. approve and send
2. disapprove and reject

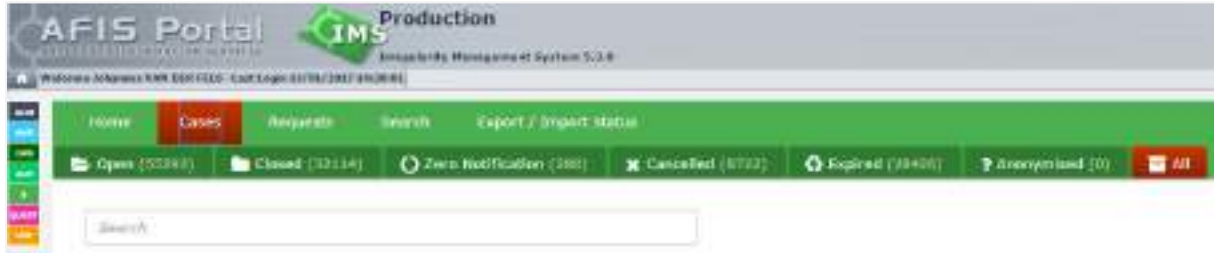
If the manager rejects the request again, the creator has also again two options:

1. recreate
2. delete

If the manager approves, the manager needs to send the request to the next level. This can be another reporting authority or the Commission. If it is sent to the next reporting authority, the above described process repeats itself. The manager needs to check the request and has two options:

1. approve and send
2. disapprove and reject

This process repeats itself till the request has been sent and approved by the Commission.



1.6 Tab page Cases

The cases are displayed on tab page Cases. The tab page contains sub tab pages in order to access the cases quicker and easier. It also helps you to find back the cases on which you still want to work.

Open

This tab page contains the cases that are still open implying that administrative, judicial and/or criminal procedures are still ongoing. You did not yet complete your national procedures on this case.

Closed

This tab page contains the cases that have been closed. All procedures have been completed and finalised thus no new information is expected anymore for these cases.



For cases related to cohesion and pre-accession funds of programming periods before PP2007-2013 counts that only the Commission can close or cancel those cases. Your requests to close or cancel such cases need to have the (manual) approval of the Commission.

Zero notification

This tab page contains zero notifications.

Cancelled

This tab page contains the cases that were cancelled because they appeared not to be an irregularity.



For cases related to cohesion and pre-accession funds of programming periods before PP2007-2013 counts that only the Commission can close or cancel those cases. Your requests to close or cancel such cases need to have the (manual) approval of the Commission

Expired

This tab page contains the closed cases of which the (personal) data retention period expired thus need to be anonymised.

Anonymised

This tab page contains the closed (and expired) cases which have been anonymised implying that all free text fields and all attachments have been deleted.

All

This tab page contains all cases thus the sum of open cases, closed cases, cancelled cases, expired cases and anonymised cases.

Scenario I

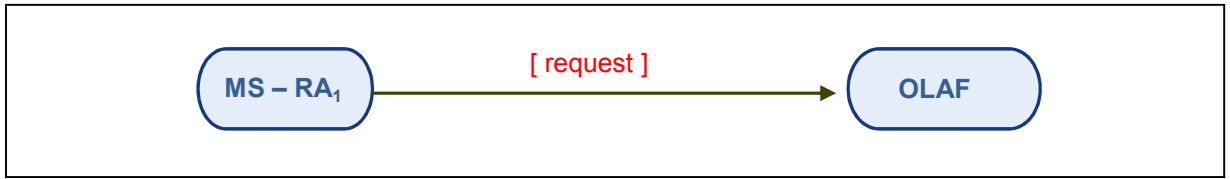


Diagram 1: Request Workflow (Example 1)

Scenario II

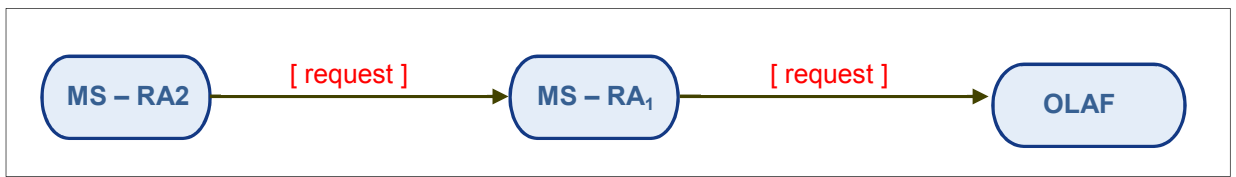


Diagram 2: Request Workflow (Example 2)

Scenario III

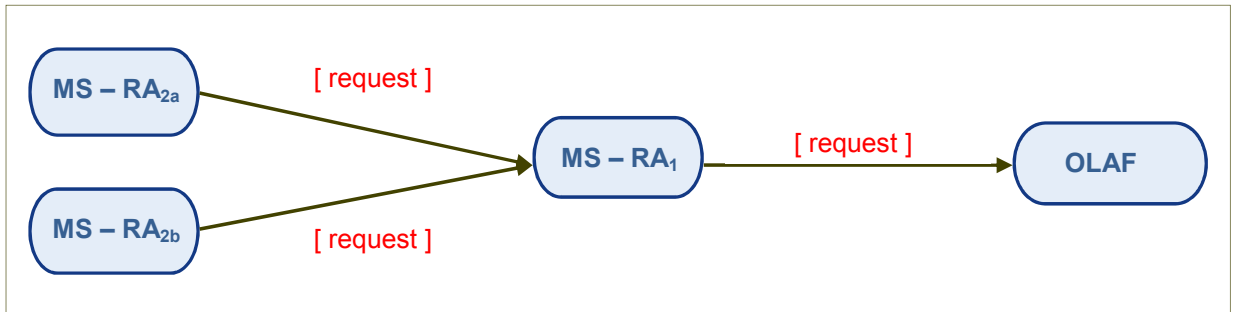


Diagram 3: Request Workflow (Example 3)

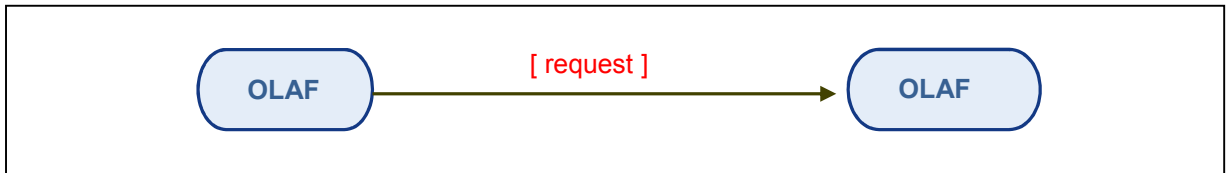


Diagram 4: Request Workflow (Example 4)

1.6.1 Sending Request to OLAF and the Request Workflow

The IMS reporting structure describes the 'route' a request follows from the creator's reporting authority until it is sent to OLAF.

The creator's reporting authority sends the request to the reporting authority 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 authority in the reporting structure, its status is changed into 'rejected' and the creator of the request must recreate it and finalise or delete it (chapter 1.5.3).

A manager of the authority of which the creator is part of will then send the request again.

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

Zero Notification

1 Identification

Case overview

Case ID	152306
Registration date	16/10/2018
Date of last change	16/10/2018
Status	ZERO
Case version	1

1 Identification

Reference number - OLAF	ESF / CZ / MPSV / 2018 / 61491
Fund	(ESF) European Social Fund
Year	2018
Programming period	2000-2006
Reference number - national	ESF_2018.3Q

Drafting information

Initiating authority - complete name	CZ_MPSV - Ministry of Labour and Social Affairs
Drafting date	15/10/2018
Quarter	2018/3

[View history](#)[Print](#)[Back](#)

2. Zero notification

Zero notifications are meant to inform the next level that nothing has to be reported for a certain period.

The obligation to send a zero notification does not exist anymore. You can see it as a courtesy measure: you inform the next level that you thought of your reporting obligations and that there is nothing to be reported.

Basic information needs to be provided in the zero-notification:

- Fund
- Year
- Programming period
- Reference number – national
- Drafting date
- Quarter

You will find on the left hand side an example of a zero-notification.

3. Support Team Contact Information

Support related to the process of irregularity reporting can be obtained from:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

Use and processing of IMS-information (article 5 of the delegated acts)

1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.

IMS

User Manual 4: How to access IMS

Irregularity Management System

Subject	How to access IMS
Version / State	0.2/ Draft
Release Date	15/10/2018
Document Reference	AFIS-IMS-UserManual_how to access IMS.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

Summary:	Keywords:
IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF). This manual is meant to describe the features of IMS.	Irregularity Management System (IMS)

Number of pages	Number of lines	Host system	Software
22	618	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	15/10/2018	Aligned introduction and contact pages, business owner review	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	How to connect to AFIS Portal using Secure Internet connection	6.0	12/07/2017
RD2	How to connect to AFIS Portal using CCN	How to connect to AFIS Portal using CCN	4.0	14/07/2017
RD3	AFIS Portal User Manual	AFIS-APM-UserManual.docx	6.0	29/01/2018

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About this Manual

The initial IMS-manual which was released in 2016 became too big, therefore it has been split up into booklets. Each booklet is a manual which will deal with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

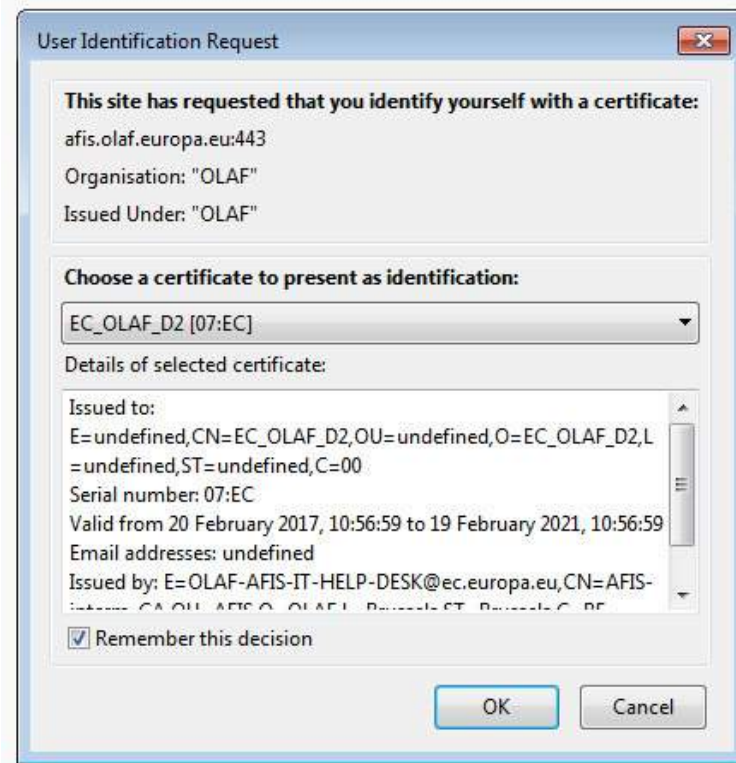
 Warning! Very important information, please read carefully.

 Tip to improve a working practice

This manual concerns "how to access IMS".

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Requirements to report irregularities provide such information. You will find the handbook also on ALIB and CIRCABC.

1



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3



1. How to Access IMS

1.1 Introduction

IMS is a Web-based application accessible through the AFIS Portal. For more detailed information about accessing the AFIS Portal see the manual "How to connect to AFIS Portal".

Access to IMS can be granted if you are registered in URT (User Registration Tool) as AFIS-user and the competence IMS is included in your profile. IMS-country-officers and IMS-liaison-officers are responsible for the registering of AFIS-users (including IMS-users) and to keep the information up-to-date.

As soon as you are registered as an AFIS/IMS-user, you will receive:

- username
- password
- AFIS-certificate

As soon as the certificate is installed on your computer, you can access IMS via the URL:

<https://afis.olaf.europa.eu/>

The URL will lead you to a screen with the User Identification Request (see image 1). You tick the tickbox REMEMBER THIS DECISION and click on the button OK.

A new screen will open with the Request for Permission to Use a Key (see image 2). You put your key in and click on the button OK.

Again a new screen will open which will ask you to provide your username and password (image 3). The AFIS-welcome-screen will appear and you will have access to IMS.



Reset Password

Please enter the mail address associated to your account, we will send you an email containing instructions on how to reset your password.

Email address:

1.1.1 Reset password

In case you have forgotten your password, just click on the link FORGOT PASSWORD. A new screen will open which will ask you to provide your email address in order to send you a new password.

Please indicate the email address which was used to register you in URT (User Registration Tool). That email address will normally be your office email address. You will receive a new password which needs to be changed within a few days.

The "reset password" will not work in case you have more than one IMS-account with the same email address. In such case, you need to contact the OLAF-AFIS-IT-Helpdesk. You will find the details of the OLAF-AFIS-IT-Helpdesk at the end of this booklet.



1.2 IMS on AFIS Portal

The AFIS PORTAL HOMEPAGE appears directly after you have logged in. This screen is user specific and depends on your competences and roles.

The manual AFIS PORTAL USER provides a more detailed description of all the constant elements that compose the AFIS portal homepage which is especially interesting for AFIS-users who have also access to customs related modules.

In the example used (see image on the left hand side), the user has access to 4 AFIS-modules:

- IMS = Irregularity Management System
- AMS = AFIS Mail System
- ALIB = AFIS Library
- URT = User Registration Tool

You will find these 4 AFIS-modules in the blue coloured toolbar.

From the AFIS portal homepage, you can access the IMS homepage by clicking on IMS in the toolbar (1) or by clicking on IMS on the application tab (2).



You will find in the toolbar, on the left hand, the icon of the home page. By clicking on the HOME-icon, you will go back to the AFIS portal homepage, regardless of where you are in the application.

AMS

AFIS Mail System is a secure email system which makes use of AFIS network. It should be used to mail confidential and/or sensitive information such as for instance IMS-data. The manual AMS provides detailed information on AMS.

ALIB

AFIS Library is a library via which all kind of relevant information related to the reporting of irregularities is made accessible for the IMS-user. Think for instance at manuals, strings (drop-down-lists, fieldnames, CCI-codes, budgetlines etc), contact details of IMS-country-officers and IMS-liaison-officers and so forth. ALIB is a must for every IMS-user. If you do not have access, please request it via your IMS-liaison-officer or IMS-country-officer. The manual ALIB provides detailed information on ALIB.

URT

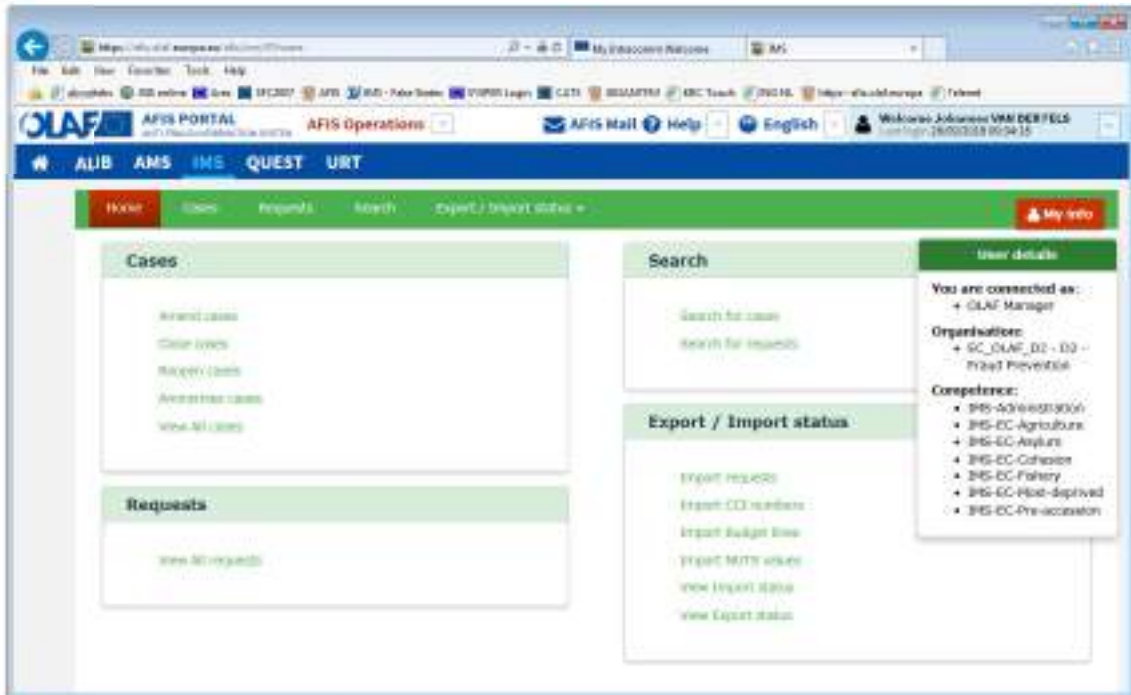
User Registration Tool is used to register and manage all AFIS-users including IMS-users. All contact details and competences of the users are registered in URT. Access to URT is normally limited to IMS-country-officers and IMS-liaison-officers, thus the normal IMS-user does not have access to URT. The manual URT provides detailed information on URT.



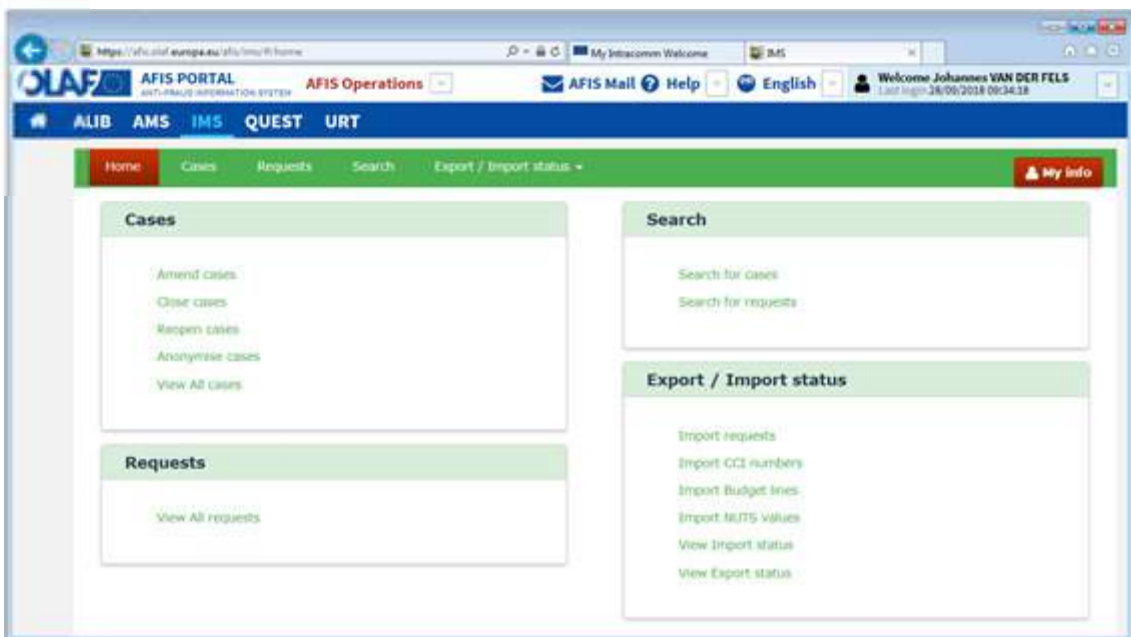
Please note that if you remain inactive for 30 minutes, you will automatically be logged out of the AFIS portal. You will need to log in again to resume your work. It is important that you save regularly any work that you do in AFIS, including IMS. In this way you ensure that you will not lose your work if you are automatically logged out. Think for instance at the requests that you are drafting.

For more information on automatic log-out, please see the manual AFIS PORTAL USER.

1



2



1.3 IMS Homepage

By clicking on IMS, the IMS homepage opens and you will find, depending on your competences and role, several sections such as

1. Cases
2. Requests
3. Search
4. Export/Import status

You will also find the buttons HOME and MY INFO in the green header at the top of the screen. Both buttons will always be visible and usable.

1.3.1 Home

If you click on the button HOME, you will always go back to the IMS home page, regardless of where you are in the application.

1.3.2 My info

If you click on the button MY INFO, you will find your user details. IMS will display the reporting authority to which you belong, your role and competences. In the example, the user is an OLAF-manager.

1.3.3 Tabs and action menu's

You can access the different IMS-sections by clicking on a

- tab in the toolbar
- hyperlink in one of the action menu's.

The tabs and action menu's provide the same options:

1. Cases
2. Requests
3. Search
4. Export/Import status

Ad 1. Cases

In this menu you will find, based on your role, all the actions related to cases (thus not to requests!). The example concerns an OLAF-manager who can amend, close, reopen, anonymise and view a case. An IMS-user in a country will not have the option to amend or anonymise cases but will have the option to update cases.

Ad 2. Requests

In this menu you will find, based on your role, all the actions related to requests (thus not to cases!). The example concerns an OLAF-manager who can view a request. An IMS-user in a country has additional options.

Ad 3. Search

Via this menu you can start your search, differentiated into search for cases and search for requests.

Ad 4. Export / Import Status

Via this menu you will find information on the status of your excel export and import requests.

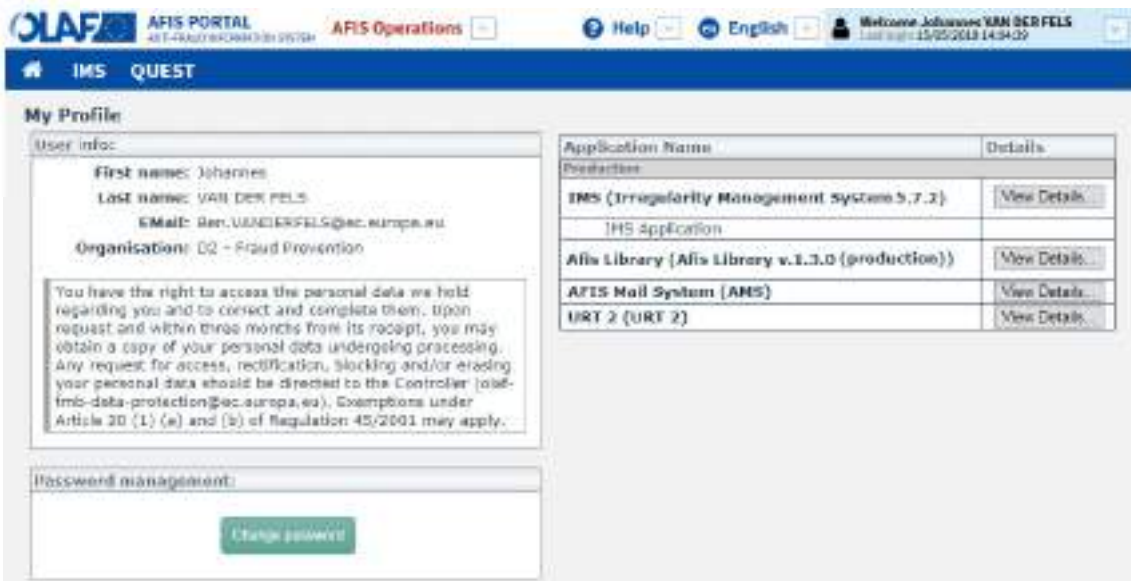
1



2



3



2. My profile

2.1 Introduction

AFIS and IMS provide as service the possibility to fine tune your applications to your personal needs. You can do that in MY PROFILE.

The menu MY PROFILE can be accessed by clicking on your name which you will find at the top of the screen on the right hand side (see image 1).

Just click on your name and a drop-down-list will open. You will find then the following options:

- my profile
- general AFIS privacy statement
- sign out

(see image 2)

Ad general AFIS statement

By clicking on GENERAL AFIS PRIVACY STATEMENT a new screen will open in which you will find the privacy statements made for the different AFIS applications.

The document OLAF DPO-117 is the privacy statement for the reporting of irregularities. In this document information is given related to topics as how data is kept in IMS, who has access to your data and to whom it is disclosed (see also the disclaimer on the last page of this manual).

Ad sign out

By clicking on SIGN OUT, you disconnect from AFIS / IMS.

Ad My profile

By clicking on MY PROFILE you will be able to see your profile and fine tune your profile. You will find on the left hand side

- user info, including a data-protection-disclaimer;
- password management via which you can change your password.

On the right hand side you will find the APPLICATION MENU which provides an overview of all the applications to which you have access (see image 3). The example lists 4 applications (IMS, ALIB, AMS and URT).

By clicking on VIEW DETAILS a new screen will open.

1

The screenshot shows the IMS QUEST user interface. At the top, there is a navigation bar with 'IMS QUEST' and a user profile for 'Wissam Johannes VAN DER VELD'. Below this, the main content area is titled 'My Profile' and 'Production - Irregularity Management system 3.7.2'. On the left, there is a sidebar with 'IMS Application' and 'Hold News Manager'. The main area contains a table for 'My notifications' with columns for the notification type and a 'Subscribe/Unsubscribe' checkbox.

My notifications	Subscribe/Unsubscribe
Requests sent for approval on the reporting path	<input type="checkbox"/>
Rejected requests	<input type="checkbox"/>
Requests sent to OLAF	<input type="checkbox"/>
Cases awarded by OLAF	<input checked="" type="checkbox"/>
Draft request(s) following the change of an Initiating authority	<input type="checkbox"/>
Draft request(s) created following the change of a Reporting path	<input type="checkbox"/>
Requests finished and ready to be sent	<input type="checkbox"/>

2

The screenshot shows an email message window. The subject is 'IMS - newly rejected request(s)'. The sender is 'OLAF-AFIS-NO-REPLY' and it was sent on 'Tue 11/08/2015 14:39'. The body of the email contains the following text:

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

2.2 My notifications

By clicking on the button VIEW DETAILS, a new screen opens on which you will find the possibility to subscribe or unsubscribe for notifications (see image 1).

The default is that you do NOT receive any notifications. This default was set on request of the majority of the IMS-liaison-officers.

You can opt for receiving an email notification by ticking one or more tick boxes and by pushing the button SAVE, thus also 2 actions:

1. ticking the tick box
2. pushing the button SAVE

In the example, you opted to receive a notification as soon as OLAF amends one of your cases. The tick box CASES AMENDED BY OLAF is ticked which implies that you switched on the automatic email notification.

By ticking the tick box once again you "untick" the box implying that you will not receive any longer an email notification.

In image 2 you will find an example of an email notification which you will receive in your "normal" email box.

The following table provides an overview of all possible email notifications related to IMS:

My notifications	Description	Users that can activate the notification
Cases amended by OLAF	The initial reporting authority (IRA) will be notified when a case is amended by an OLAF manager.	creator manager country officer
Draft request(s) created following the change of a Reporting path	The initial reporting authority (IRA) is notified that pending requests are reset to draft following a change of the reporting path. Reset to draft implies that pending requests are returned to the initial reporting authority.	creator manager country officer
Requests finalised and ready to be sent	The managers of the initial reporting authority (IRA) receive a notification that requests needs to be checked, approved/rejected and send.	manager
Rejected requests	Creators and managers of the initial reporting authority (IRA) will be notified when a request is rejected. It is not relevant on which level (initiating RA, intermediate RA, OLAF) the request has been rejected.	creator manager country officer
Requests sent to OLAF	A notification will be received as soon as 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	The new initial reporting authority (IRA) will receive a notification when the ownership of pending requests is changed. These pending requests are reset to draft.	creator manager country officer
Requests sent for approval on the reporting path	Managers of the intermediate reporting authority will receive a notification as soon as a request has been received for approval.	manager country officer
Requests approved by OLAF	A notification is sent as soon as an OLAF-manager approves an incoming request from a reporting authority (RA) within the Commission.	Commission Officer
Requests rejected by OLAF	A notification is sent as soon as an OLAF-manager rejects an incoming request from a reporting authority (RA) within the Commission.	Commission Officer
New requests to close cases	A notification is sent to the competent Commission reporting authority as soon as a request to close a case is sent to the Commission.	Commission Officer
New requests to close irrecoverable cases	A notification is sent to the competent Commission reporting authority as soon as a request to close an irrecoverable case is sent to the Commission.	Commission Officer
Requests sent to OLAF and case marked as dismissed by OLAF	A notification is sent to OLAF-manager when the request concerns a case which is "Dismissed by OLAF".	OLAF Manager

If you would like to receive an automatic email notification for an event which is not listed in the table above, please inform OLAF's IMS-team via your IMS-country-officer or IMS-liaison-officer.

3. Support Team Contact Information

Support related to the process of irregularity reporting can be obtained from:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

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1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.

Subject	Create a case
Version / State	0.4/ Draft
Release Date	15/10/2018
Document Reference	AFIS-IMS-UserManual-request_to_create_a_case.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

Summary:	Keywords:
IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF).	Irregularity Management System (IMS)

Number of pages	Number of lines	Host system	Software
94	2369	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	19/04/2017	Business owner review	C, D, I, R	All
0.3	2	06/07/2017	Removed the reference to irregular projects, from the section describing decertified amounts (section 1.9, page 75, field 8.4)	C, D, I, R	1.9
0.4	3	15/10/2018	Aligned introduction and contact pages, final review business owner	C, D, I, R	All

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

Reference Documents

Ref.	Title	Reference	Version	Date
RD1	How to connect to AFIS Portal using Secure Internet connection	How to connect to AFIS Portal using Secure Internet connection	6.0	12/07/2017
RD2	How to connect to AFIS Portal using CCN	How to connect to AFIS Portal using CCN	4.0	14/07/2017
RD3	AFIS Portal User Manual	AFIS-APM-UserManual.docx	6.0	29/01/2018

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About this Manual

The initial IMS-manual which was released in 2016 became too big, therefore it has been split up into booklets. Each booklet is a manual which deals with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

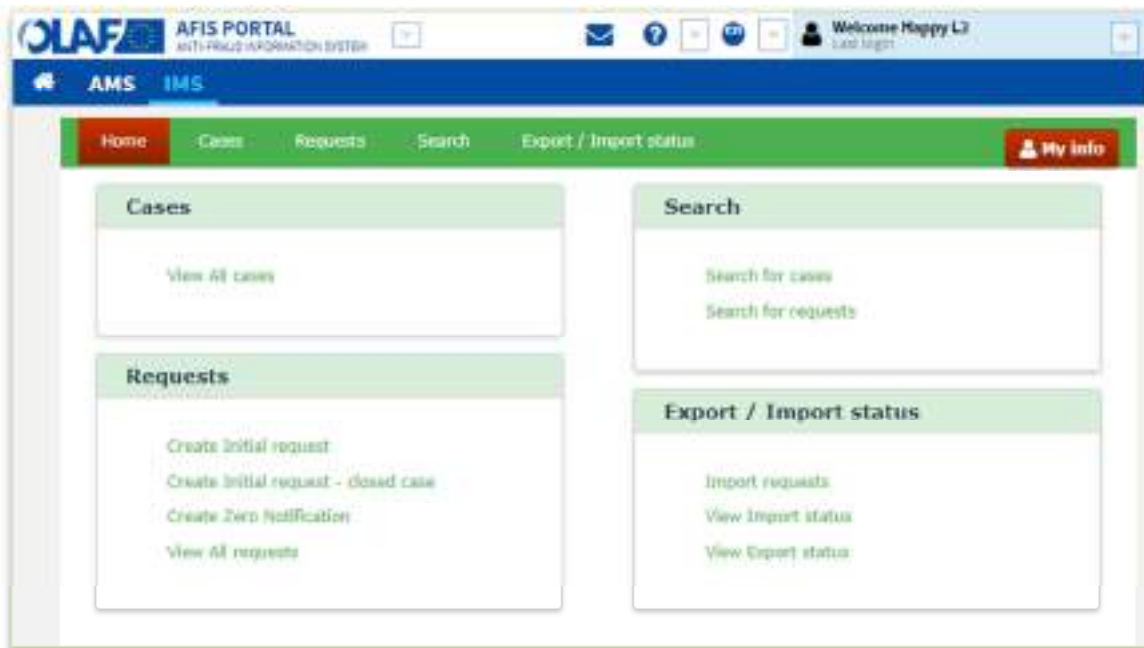
 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

 Warning! Very important information, please read carefully.

 Tip to improve a working practice

This manual concerns the initial reporting of a new case. This manual describes how a request to create a case can be made.

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Reporting of irregularities in shared management 2017 provide such information. You will find the handbook on ALIB and CIRCABC.



1. Initial request - Request to create a case

1.1 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.

Sectorial regulations oblige countries to provide a wide range of information on irregularities detected. The Irregularity Management System (IMS) makes it possible to comply with the reporting obligations in an electronic format via a secured network (AFIS).

IMS is structured in tab pages enabling you to provide the information as prescribed by the regulations. Each tab page is divided into sections to facilitate an easy reporting.



All IMS-related-documentation is published in ALIB and CIRCABC.

General information in bullet points:

- This manual provides a technical explanation how to create a request to create a case.
- The Handbook on Requirements to report irregularities provides detailed information about the application and interpretation of the reporting obligations. This handbook has been drafted in close cooperation between Member States, candidate countries and Commission.
- Information on irregularity reporting, such as regulations, manuals, questions and answers (Q&A's), lists of IMS-Country-Officers and IMS-Liaison-Officers and so forth can be found in ALIB and CIRCABC.
- IMS provides some information automatically (by default!). Be aware that most of these fields are editable thus can be modified.

To help you to create requests, the pages and their sections and fields will be explained in the following chapters. You will always find on the even pages (left hand side) images to visualise the text on the odd pages (right hand side).



This manual and its examples are based on the use of CHROME. The use of different browser could lead to a different visualisation which does not have an impact on the overall functioning of IMS.



Last but not least:

The manuals are made to easen the life of the IMS-user, thus to serve you. Your feedback is important to improve the manuals. Please provide us with feedback if you spot something what needs to be improved.

OLAF AFIS PORTAL AFIS Operations AFIS Mail Help English Welcome Hippy L4

Home Cases **Requests** Search Report / Import status My Info

REQUEST TO CLOSE A CASE:
 Reference number : OLAF - IMS / IS / 14 / 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: AFIF, Asylum, Migration and Integration Fund
 1.2 Year: 2014
 1.3 Programming period: 2014-2020
 1.4 Reference number - national: IMS-normal-test

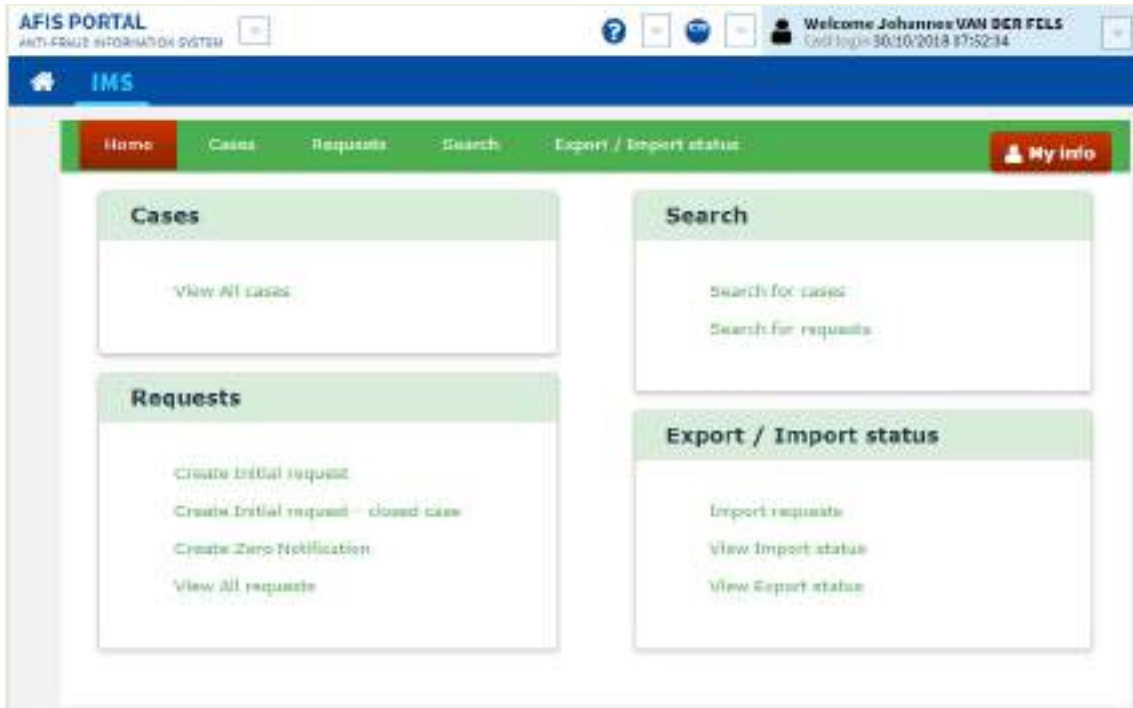
Save as draft Finalise Cancel

Tab Pages

The form 'request to create a case' consists of eleven tab pages. You can access these pages by clicking on 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 the pages, just click on the tabs. The tab colours red when you have clicked on it in order to indicate on which tab page you are. In the example, you are on tab page 1: Identification.



1.2 How to start a request to create a case (initial report)

In IMS, a distinction is made between requests and cases. As long as a request has not been sent to the Commission, the request keeps the status request. At the moment the request is received (and approved) by the Commission, the request (data) becomes case (data).

A request to create a case is the initial report request as described in article 3(2) of the different implementing acts:

The request to create a case is the initial report as described in article 3(2) of the different implementing acts:

2. In the initial report Member States shall provide the following information:

All other requests concern follow-up reports as described in article 4 of the different implementing acts.

An initial report can be made via:

1. Request to create a case
2. Request to create and close a case

Ad 1 Request to create a case

The request to create a case is an initial report. An irregularity has been discovered and with the request to create a case you start the process of informing the Commission that an irregularity has been committed. You will process all already available information in this request. New information can be processed later on, in for instance a request to update a case.

Ad 2 Request to create a case and close a case

The request to create and close a case is also an initial report. The difference is that in this case all national procedures have been completed and finalised, thus on national level no further action is to be expected anymore. You open and close the case at the same time.

IMS offers several possibilities to do what you want to do. A good example is the initial report, the request to create a case. You can draft an initial report via a "request to create a case". You can make such a request via the:

- tab page REQUESTS (see 1)
- action menu REQUESTS (see 2)

It depends on your own personal preference which option you prefer. The result will be the same.

1



2



1.2.1 Request to create a case via the tab page REQUESTS

You click on “create request” and IMS will offer you then then 3 options (see image 1):

1. Initial request
2. Initial request – closed case
3. Zero notification

You click on INITIAL REQUEST and IMS will provide you then with the form that you need to fill.

The option INITIAL REQUEST – CLOSED CASE can be used in case you want to report a new case for which already all national procedures have been followed, completed and finalised. In other words, the case is as far as you concerns already “closed”.

The option “zero notification” can be used in case you have nothing to report (no initial report and no update) concerning a reporting period. With a “zero notification” you inform the next reporting authority that no reports should be expected from you. The zero notification can be seen as a courtesy tool.

1.2.2 Request to create a case via the action menu REQUESTS

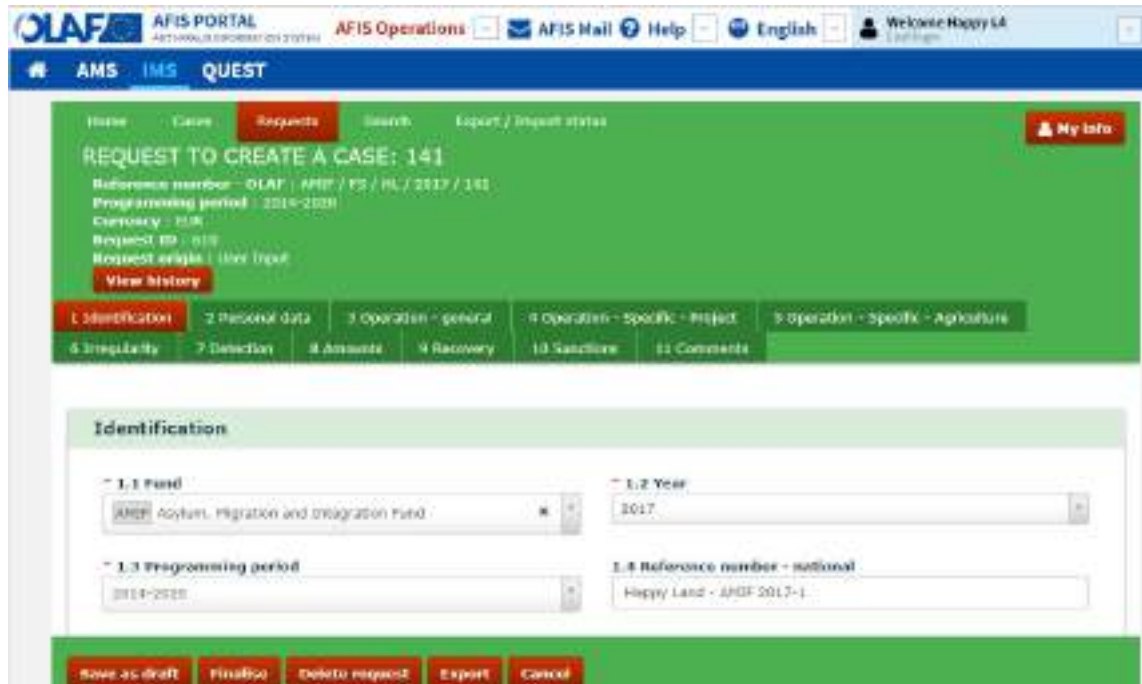
You can also create a request from the action menu REQUESTS. Just go to the action menu REQUESTS and click on one of the first two options (see image 2):

1. Create Initial request
2. Create Initial request – closed case
3. Create Zero notification
4. View all requests

By clicking on option 1 or option 2, IMS will provide you then with the form that you need to fill.

The option INITIAL REQUEST – CLOSED CASE can be used in case you want to report a new case for which already all national procedures have been followed, completed and finalised. In other words, the case is as far as you concerns already “closed”.

The option “zero notification” can be used in case you have nothing to report (no initial report and no update) concerning a reporting period. With a “zero notification” you inform the next reporting authority that no reports should be expected from you. The zero notification can be seen as a courtesy tool.



2. Request to create a case (initial report)

2.1 Tab page 1: Identification

This tab page is meant to provide general information on for instance reference number, reporting authority, language and currency.

As IMS-creator, you can save the request as:

- draft
- finalised

You will find these buttons at the bottom of the tab page (an IMS-manager will also have the button SEND).

Saving a request as DRAFT implies that you can still modify it. Saving a request as FINALISED means that you cannot change the data anymore. An IMS-manager needs to check the request and decide if the request will be submitted to the next level or rejected thus send back to the IMS-creator.

As soon as you save a request, a REQUESTID number is added. It is not relevant if you save it as draft or as finalised.

2.1.1 Section - Identification

The section IDENTIFICATION contains information which makes it possible to identify the case.

1.1. Fund

You need to select one of the options from the drop-down-list. You can do that by keying in one or more of the characters of the official abbreviation or description of the fund, IMS will display then the possible options. You can also open the drop-down-list and select the applicable fund.

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

1.2. Year

The reporting year should be indicated which is normally the current calendar year. For that reason, IMS puts by default the running year. However, the field is editable which means that you can change the year. You can go one year forward and one year backward. In other words, you can only select the previous, the current or the next year.

If you want to edit it, you can do that by selecting a year from the drop-down-list or by keying in a year in the format yyyy (e.g. 2017).

Example: In the image on the left, the year 2017 has been selected.

Reference number - OLAF

As soon as you have put in the fund (field 1.1) and the year (field 1.2), IMS will generate the REFERENCE NUMBER – OLAF which will then be displayed in the header on top of the request.

1.3. Programming period

In this field you need to indicate the applicable programming period. Select one of the programming periods from the drop-down-list. The available values depend on the selected fund.

Please be aware that IMS is a database and based on funds and programming periods. Fund and programming period are the basis of the reporting system. This implies that as soon as you click the button “finalise”, the fund and programming period have become definitive thus cannot be changed anymore. As long as the status of the request is “draft”, you can change the fund and programming period. If necessary, your IMS-Country-Officer can ask OLAF to make changes to these fields.



1

AFIS PORTAL AFIS Operations AFIS Mail Help English Welcome Happy LA

AMS IMS QUEST

Home Cases **Requests** Search Export / Request status **My Info**

REQUEST TO CREATE A CASE: 141

Reference number - OLAF - AFIS / PS / RL / 2017 / 141
 Programming period - 2014-2020
 Currency - EUR
 Request ID - 141
 Request origin - User Input
[View history](#)

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: AFIS - Asylum, Migration and Integration Fund
 1.2 Year: 2017
 1.3 Programming period: 2014-2020
 1.4 Reference number - national: Happy Land - AFIS 2017-1

Save as draft Finalise Delete request Export Cancel

2

Drafting information

1.5 Initiating authority - complete name: PS_HL - Happy Land

1.6 Request language: EN - English

1.7 Currency: EUR - EURO

1.8 Exchange rate applied: [Empty field]

1.9 National currency: Select a value

1.10 Drafting date: 25/05/2016

1.11 Quarter: 2016/Q4

3

1.6 Request language

Select a value

- IS
- DA - Danish
- EN - English
- ES - Spanish
- PL - Polish
- SV - Swedish
- TR - Turkish

1.4. Reference number - national

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

This field is a text field which implies that you can put anything in. It also implies that this field will be deleted as soon as a case will be anonymised.

Example: In the image on the left '**Happy Land – AMIF 2017-1**' was keyed in (see image 1)

2.1.2 Section – Drafting information

This section is used to provide 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 provides by default the names as registered in the User Registration Tool (URT). The URT-short-name and the URT-long-name of the organisation to which you belong are displayed.

Also this field is editable which implies that you can change the name. However, in such case you are recommended to inform your IMS-Country-Officer that the information is outdated and should be updated in URT.

Example: the reporting authority is: FS_HL – Happy Land (see image 2).

1.6. Request language

The language in which you will process the information in IMS should be indicated. You can do that by selecting a language from the drop-down-list. You can also put in the ISO-code or one or more characters of the name of the language. IMS will show you then the possible option(s).

In the example on the left hand side the letters "IS" have been keyed in and IMS showed all languages in which these characters occur (see image 3). The option EN was selected.

Example:

In the image on the left, '**English**' was selected as the request language (see image 2)

1

Drafting information

1.5 Initiating authority - complete name F5_HL - Happy Land	1.6 Request language EN English	
1.7 Currency EUR EURO	1.8 Exchange rate applied 	1.9 National currency Select a value
1.10 Drafting date 21/05/2016	1.11 Quarter 2016/4	

1.7. Currency

The currency in which you the amounts are reported should be indicated. IMS puts by default EUR. The field is not editable; an exception on the rule!



Please be aware that with the entry into force of the new sectorial legislation, all amounts should be indicated in EURO. This means in practical terms that from reporting year 2016 onwards all amounts must be reported in EURO. This counts also for cases which were reported before 2016. As soon you update a case which was reported before 2016, you need to indicate the amounts in EURO.

Field 1.8 Exchange rate applied and field 1.9 National currency have been created on request of Member States in order to make it possible to make a link between the amounts indicated in IMS and the amounts in national databases which are often in national currency. These fields are meant for national purposes. Field 1.7 Currency indicates in which currency the amounts are reported in IMS.

1.8. Exchange rate applied

This field can be used to indicate the exchange rate which you applied to transfer the amounts into EURO.

1.9. National currency

You can use this field to indicate your national currency.

1

Drafting information

1.5 Initiating authority - complete name
 FZ_HL - Happy Land

1.6 Request language
 EN English

1.7 Currency
 EUR EURO

1.8 Exchange rate applied

1.9 National currency
 Select a value

1.10 Drafting date
 21/05/2016

1.11 Quarter
 2016/4

2

1.10 Drafting date

Calendar view for October 2016. A green arrow points to the date 01.

Mon	Tue	Wed	Thu	Fri	Sat	Sun
26	27	28	29	30	01	02
03	04	05	06	07	08	09
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31	01	02	03	04	05	06

Buttons: Today, Clear, Done

1.10 Drafting date

Year selection view for 2016. A green arrow points to the year 2016.

2016		
January	February	March
April	May	June
July	August	September
October	November	December

Buttons: Today, Clear, Done

1.10. Drafting date



This field can be used to indicate the day on which you drafted the request. IMS puts by default the date on which you created the request. It is an editable field, you can change it as long as the request has not been finalised.

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

Example: the date **25/06/2016** has been selected as the drafting date (see image 1).

1.11. Quarter

Irregularities have to be reported within 2 months after the quarter in which the irregularity was detected. Enter the quarter and the year that the request pertains to. The format to indicate the quarter is YYYY/Q (e.g. 2016/4).



Example: the quarter **2016/4** was entered as the quarter of the request (see image 1).

How to use the calendar option while creating a request (see image 2)

When you add dates to the request, you will need to use the calendar because you cannot key-in dates manually. You need to select a date via the calendar. The calendar has several hidden but useful features.

To select a different month, click on the button date (displaying in the example October 2016). 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.

While selecting a month, you can also easily skip to another year. Click again the button date (displaying in the example 2016) and all available years are displayed. Select a year and the months of that year are displayed. Select one of the months and the days of that month will then be displayed. Click one to select it.

Use the navigation buttons   to navigate through the years or months.

Click the button Clear to close the calendar without adding a date.

Special request

1.12 New modus operandi <input type="checkbox"/>	1.13 Necessity to inform other countries <input type="checkbox"/>	1.14 Person found in other case(s) <input checked="" type="checkbox"/>
--	---	--

Use the field 11.3. ACQ(1)(b)(c) to attach the list of references to the other case(s) which contain the same person(s) involved.

2.1.3 Section – Special request

This section can be used to provide 'special' or 'urgent' information. You are asked to send a special or urgent request when:

- A new modus operandi has been applied
- Other countries need to be warned
- A person was also reported in other cases



Switchbox

In the section “special request”, a switchbox is used to indicate if something is applicable or not by indicating a NO (0) or a YES (I). By default the switchbox is set on NO (0). If you want to indicate YES you need to move the button to the left. It will then color blue and indicate I which stands for confirmative.

1.12. New modus operandi

If a new modus operandi has been applied and colleagues in your country, any other country or of the Commission need to be warned, switch this box to YES by moving the button from 0 to I (blue!).

If you set the switchbox 'new modus operandi' to YES, IMS informs OLAF that a new modus operandi has been discovered. OLAF will analyse and evaluate the information. If necessary, additional information will be requested via the IMS-Country-Officer and/or IMS-Liaison-Officers. The results will be used to inform other authorities. Of course, the latter will be done in close cooperation with the competent IMS-Country-Officers and IMS-Liaison-Officers.

1.13. Necessity to inform other countries

Switch the box to YES 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 could take place in those countries as well.

If you set 'Necessity to inform other countries' to YES, IMS informs OLAF that other countries need to be informed. OLAF will analyse and evaluate the information. If necessary, additional information will be requested via the IMS-Country-Officer and/or IMS-Liaison-Officers. The results will be used to inform other authorities. Of course, the latter will be done in close cooperation with the competent IMS-Country-Officers and IMS-Liaison-Officers.

1.14. Person found in other case(s)

Switch the box to YES if person(s) involved in this case can be linked to other cases as well. If you set this option to YES, a warning message is displayed to alert you that an attachment should be uploaded on tab page 11 Comments, in field 11.3 Attachments. The attachment should contain a list of references to other case(s) in which the same person(s) were involved.

Status

1.15 Proceedings RR Penal proceedings	1.16 Financial status RRR Appeal lodged and recovery suspended
---	--

Save as draft Finalise Delete request Export Cancel

2.1.4 Section – Status

In this section information on the proceedings and the financial status of the case is processed.

1.15. Proceedings

You need to select the type of proceedings initiated to follow up the irregularity:

- AP – Administrative proceedings
- JP – Judicial proceedings
- PP – Penal proceedings.

Example: In the image on the left the value PP (= Penal Proceedings) has been selected.

1.16. Financial status

You need to select the financial status of the case. IMS offers you the following options:

- NATR = No amount to be recovered
- ATBC = Amount to be calculated
- RTBS = Recovery to be started
- RUNW = Recovery under way
- ALRS = Appeal lodged and recovery suspended
- ACRL = Appeal completed and recovery launched
- FULR = Full recovery
- EUSW = EU-share withdrawn, expenditure fully charged to national budget
- NRW4 = Amount not recovered within 4 years
- NRW8 = Amount not recovered within 8 years
- AIRR = Amount irrecoverable

CC = Clearance – Charged to

CCEU = Clearance - charged to EU-budget

CCNB = Clearance - charged to national budget

CCBB = Clearance - charged to EU-budget and national budget



The codes starting with CC (thus CCEU, CCNB and CCBB) should only be used in case of a formal Commission Decision on an art. 5(2) report:

Where a Member State considers that an amount cannot be totally recovered, or cannot be expected to be totally recovered, it shall inform the Commission, in a special report, of the amount not recovered and the reasons why the amount should, in its view, be borne by the Community or by the Member State. This information must be sufficiently detailed to allow the Commission to decide as soon as possible after consulting the authorities of the Member States concerned, who shall bear the financial consequences in accordance with the third indent of Article 23 (1) of Regulation (EEC) No 4253/88.

NRW = No Recovery Within

The codes NRW4 and NRW8 were introduced during programming period 2007-2013 and derive from art. 32(5) of Reg. 1290/2005:

If recovery has not taken place within four years of the primary administrative or judicial finding, or within eight years where recovery action is taken in the national courts, 50 % of the financial consequences of non-recovery shall be borne by the Member State concerned and 50 % by the Community budget.

Reg. 1290/2005 was repealed by Reg. 1306/2013. NRW4 and NRW8 are now based on art. 54(2).

If recovery has not taken place within four years from the date of the recovery request, or within eight years where recovery is taken in the national courts, 50 % of the financial consequences of the non-recovery shall be borne by the Member State concerned and 50 % by the Union's budget, without prejudice to the requirement that the Member State concerned must pursue recovery procedures in compliance with Article 58.

Example: the code ALRS (= appeal lodged and recovery suspended) was selected.

Case closure

1.17 Case closure date

1.18 Case irrecoverable

If the case is irrecoverable, you must attach a request to close in field 11.5, Attachments.

Save as draft Finalise Done Cancel

2.1.5 Section – Case closure

This section only appears when you do:

- Initial request – closed case
- Request to close a case

1.17. Case closure date

IMS puts by default the date on which you do a request to close a case. Of course, it is editable thus you can indicate any other date. You need to do that via the calendar.

1.18. Case irrecoverable

It can happen that the unduly paid amounts cannot be recovered. In such case, you can indicate that by changing the default value of the switchbox from NO (O) into YES (I)



If you switch the box to YES then a warning will pop up which contains the message that you should attach a document in which you explain the request to close a case of an irrecoverable case.



IMS approves all requests automatically **except** when it concerns requests to close a case and requests to cancel a case concerning

- Cohesion policy funds of programming periods before PP2007-2013
- Pre-accession assistance funds of programming period before PP2007-2013

IMS functions for these funds also as accounting system which implies that a case can only be closed or cancelled after a Commission decision. For that reason, the approval is not automatically given but needs to be given manually. As long as that approval is not given, the request will keep the status of request and the data will not be added to the case itself. It needs to await the Commission Decision.

...

1



Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number	2.1.4 Company name / Family name
No record(s)	

Add

2.2 Justification for non disclosure

Save

2

2.1.1 Legal status
 Natural person Legal Person

2.1.2 National ID number:

2.1.3 Beneficiary ID number:

2.1.4 Company name / Family name:

2.1.5 Trade name / First name:

2.1.6 Parent name / Independent profits:

2.1.7 Street:

2.1.8 Postcode:

2.1.9 City:

Territorial unit where the person is registered

2.1.10 Country:

2.1.11 NUTS level 1:

2.1.12 NUTS level 2:

2.1.13 NUTS level 3:

Flagged

2.1.14 On basis of Reg. 1469/1993:

2.1.15 On basis of Reg. 2015/1929 (art. 108):

Save **Cancel**

2.2 Tab page 2: Personal data

Tab page 3 contains the personal data. You can process on this tab page all information concerning the persons involved. A person involved is anyone who had or has a substantial role in the irregularity. This could be the beneficiary, the person who initiated the irregularity (such as the manager, consultant or adviser), the person who committed the irregularity and so forth.

2.2.1 Section – Identification of persons involved

This section contains detailed information on the persons involved. You can enter the personal details of one or more persons in this section.

Click the button **Add** to start adding a new person (see image 1). Enter all the necessary information and click the button **Save** to add the person to the request. Alternatively, click the button **Cancel** if you want to stop the reporting of personal data. You must always click one of these buttons to go back to the main screen in order to continue with the reporting.

 As soon as you save the personal data, the screen colours green.

You can also edit or delete already provided information on a person:

12. Click the person that you want to edit/delete. The person's details are displayed
13. 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.



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.

2.1. Legal person/natural person

Only natural and legal persons can be held liable for their actions and non-actions. For that reason, a distinction is made between natural persons and legal persons.

 A natural person is a living human being, as opposed to a legal person which 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.

2.1.1. Legal status

The person(s) involved are either natural persons or legal persons. This can be indicated by ticking the box.

Example:

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

1

Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number	2.1.4 Company name / Family name
BE12345	Brewery Black Sheep Beer SA
NL08745AAP	Bombar

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

Add

2.2 Justification for non disclosure

Save

2

2.1.2 National ID number	2.1.4 Company name / Family name
NL08745AAP	Bombar

2.1.1 Legal status
 Natural person Legal Person

2.1.2 National ID number
 NL08745AAP

2.1.3 Beneficiary ID number
 NL250007897

2.1.4 Company name / Family name
 Bombar

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

2.1.15 On basis of Reg. 2013/1929 (art. 108)

Update Delete Cancel

2.1.2. National ID number

You need to indicate 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: as national ID number the following value has been entered: NL98745AAP.

2.1.3. Beneficiary ID number

The beneficiary Identification number is only applicable for the competence Agriculture (EAGF and EAFRD). All beneficiaries need to have a unique beneficiary identification number otherwise no agricultural subsidies can be granted.

You need to enter the Beneficiary-ID-number.

2.1.4. Company name | Family name

You need, depending on a person's status (legal or natural person), to 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: the following value has been entered: '**Borreelaar**'.

2.1.5. Trade name | First name

You need, depending on the person's status (legal or natural person), to enter the trade name or the first name(s) 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/Family name' must be filled in as well.

Example: as value was entered: '**Jan**'.

2.1.6. Parent name | Independent prefix

You need, depending on the person's status (legal or natural person), to 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** Borreelaar, where '**van den**' is the prefix.

2.1.2 National ID number	2.1.4 Company name / Family name
NL08745AAP	Bombar
<p>2.1.1 Legal status <input checked="" type="radio"/> Natural person <input type="radio"/> Legal Person</p>	
<p>2.1.2 National ID number <input type="text" value="NL08745AAP"/></p>	
<p>2.1.3 Beneficiary ID number <input type="text" value="NL250007097"/></p>	
<p>2.1.4 Company name / Family name <input type="text" value="Bombar"/></p>	
<p>2.1.5 Trade name / First name <input type="text" value="Jari"/></p>	
<p>2.1.6 Parent name / Independent prefix <input type="text" value="van den"/></p>	
<p>2.1.7 Street <input type="text" value="Hoofdstraat 1"/></p>	
<p>2.1.8 Postcode <input type="text" value="7600 AA"/></p>	
<p>2.1.9 City <input type="text" value="Almelo"/></p>	
<p>2.1.10 Country <input type="text" value="NL"/> Netherlands</p>	
<p>2.1.11 NUTS level 1 <input type="text" value="NL2"/> Oost-Nederland</p>	
<p>2.1.12 NUTS level 2 <input type="text" value="NL21"/> Overijssel</p>	
<p>2.1.13 NUTS level 3 <input type="text" value="NL213"/> Twente</p>	
<p>Flagged</p>	
<p>2.1.14 On basis of Reg. 1460/1995 <input checked="" type="checkbox"/></p>	
<p>2.1.15 On basis of Reg. 2013/1929 (art. 108) <input type="checkbox"/> 0</p>	
<p><input type="button" value="Update"/> <input type="button" value="Delete"/> <input type="button" value="Cancel"/></p>	

2.1.7. Street

Enter the street where the person is officially registered.

2.1.8. Postcode

You need to enter the postal code where the person is officially registered.

2.1.9. City

You need to enter the city or village where the person is officially registered.

2.2.2 Section – Territorial unit where the person is registered

This section makes it possible for you to provide information on the territory where the person is officially registered.

NUTS

The Nomenclature of territorial units for statistics, abbreviated NUTS (from the French version Nomenclature des Unités territoriales statistiques) is a geographical nomenclature subdividing the economic territory of the European Union (EU) into regions at three different levels (NUTS 1, 2 and 3 respectively, moving from larger to smaller territorial units). Above NUTS 1, there is the 'national' level of the Member States.

The NUTS is based on Regulation (EC) No 1059/2003 of the European Parliament and of the Council of 26 May 2003 on the establishment of a common classification of territorial units for statistics (NUTS), which is regularly updated. *To avoid misunderstandings: not OLAF's competence!*

2.1.10. Country

You need to 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

You need to 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.

Example:

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

2.1.12. NUTS level 2

You need to 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

You need to 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'**.

1

2.1.2 National ID number	2.1.4 Company name / Family name
NL98745AAP	Bomjaar
<p>2.1.1 Legal status <input checked="" type="radio"/> Natural person <input type="radio"/> Legal Person</p>	
Territorial unit where the person is registered	
2.1.1.1 National ID number NL98745AAP	2.1.10 Country NL Netherlands
2.1.3 Beneficiary ID number NL256007897	2.1.11 NUTS level 1 NL2 Oost-Nederland
2.1.4 Company name / Family name Bomjaar	2.1.12 NUTS level 2 NL21 Overijssel
2.1.5 Trade name / First name Jari	2.1.13 NUTS level 3 NL213 Twente
2.1.6 Parent name / Independent prefix van den	Flagged 2.1.14 On basis of Reg. 1460/1995 <input checked="" type="checkbox"/>
2.1.7 Street Hoofdstraat 1	2.1.15 On basis of Reg. 2013/1929 (art. 10B) <input type="checkbox"/>
2.1.8 Postcode 7600 AA	
2.1.9 City Almelo	
<input type="button" value="Update"/> <input type="button" value="Delete"/> <input type="button" value="Cancel"/>	

2

Identification of persons involved

2.1 Legal person / natural person

2.1.2 National ID number	2.1.4 Family name / Company name
No record(s)	

2.2 Justification for non disclosure

The case is currently under investigation. The National Public Prosecutor Office of Small Land decided that no information about the persons involved should yet be shared with any other authorities (NPPO-decision 2017-0001 dd 29/02/2017)

2.2.3 Section – Flagged

You can use this section to indicate if a person fits the criteria necessary to be placed on the 'blacklist' or to be registered in the Early Detection and Exclusion System (EDES). In the image on the left, the option **blacklist** has been selected.

This section makes also use of the switchbox:



Selecting | implies YES and a 0 implies a NO. The system puts by default a NO.

2.1.14. On basis of Reg. 1469/1995

You need to set the switch to YES if the person should be placed on the blacklist based on Council Regulation (EC) No 1469/95 of the 22nd 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. 2015/1929 (art. 108)

You need to set the switch to YES if the person should be registered in the Early Detection and Exclusion System (EDES) based on Regulation (EU, Euratom) 2015/1929 of the European Parliament and of the Council of 28 October 2015 amending Regulation (EU, Euratom) No 966/2012 on the financial rules applicable to the general budget of the Union.

2.2. Justification for non disclosure

You are obliged to report 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. A general statement is not sufficient!

For example, the following justification is **not sufficient**:

'national data protection rules do not allow to forward nominal data'.

Description of operation

< 2000

3.1 Objective

3.2 ARINCO number 3.3 EFRD/ESF/EAGGF/TFG number

≥ 2000

3.4 CCI number

3.5 Objective - CCI 3.6 Interregional

3.7 Programme 3.8 Programme closure date

3.9 EC decision - number 3.10 EC decision - date

3.11 Priority 3.12 Theme

2.3 Tab page 3: Operation - general

This tab page provides general information on the applied subsidy scheme (operation, project, support measure etcetera).

2.3.1 Section – Description of operation < 2000

This section concerns programming periods before PP2000-2006.

You can only use these fields if on tab page 1 as programming period a period is indicated before PP2000-2006 (thus PP1989-1993 and PP1994-1999).

3.1. Objective

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

3.2. ARINCO No.

You need to enter the ARINCO-number.

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 PP2000-2006.

3.3. EFRD/ESF/EAGGF/FIFG number

You need to enter the EFRD/ESF/EAGGF/FIFG-number.

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 PP2000-2006.

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

Description of operation

< 2000

3.1 Objective

3.2 ARINCO number 3.3 EFRD/ESF/EAGGF/TFEG number

≥ 2000

3.4 CCI number

3.5 Objective - CCI 3.6 Interregional

3.7 Programme 3.8 Programme closure date

3.9 EC decision - number 3.10 EC decision - date

3.11 Priority 3.12 Theme

2.3.2 Section – Description of operation ≥ 2000

This section contains concerns programming periods from PP2000-2006 onwards.

You can only use these fields if on tab page 1 as programming period a period is indicated from PP2000-2006 onwards (thus PP2000-2006, PP2007-2013, PP2014-2020 and PP1971-2020).

3.4. CCI-number

You need to 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 on page 1 Identification.

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

More information on SFC2007 and SFC2014 can be found on the SFC-website:

<https://ec.europa.eu/sfc/en>



Unfortunately, it can occur that not all CCI-numbers are processed in SFC. If you discover that a CCI-number is missing, please inform OLAF via your IMS-Country-Officer or IMS-Liaison-Officer so that the drop-down-list can be updated manually. You are advised to put the CCI-number in field 11.1 COMMENTS – INITIATING AUTHORITY.

Fields 3.5 – 3.10 are based on the CCI-number and automatically filled.

3.5. Objective – CCI

IMS provides automatically the 'Objective - CCI' on basis of the CCI-number selected in field 3.4 CCI-NUMBER. This field is non-editable. If you need to change the objective, change the CCI-number first.

3.6. Interregional

IMS provides automatically the 'Interregional' on basis of the CCI-number selected in field 3.4 CCI-NUMBER. This field is non-editable. If you need to change the interregional value, change the CCI-number first.

3.7. Programme

IMS provides automatically the 'Programme' on basis of the CCI-number selected in field 3.4 CCI-NUMBER. This field is non-editable. If you need to change the programme, change the CCI-number first.

3.8. Programme closure date

IMS provides automatically the 'Programme closure date' on basis of the CCI-number selected in field 3.4 CCI-number. This field is non-editable. If the programme closure date is not correct, contact your IMS-country-officer or IMS-liaison-officer. They need to contact OLAF in order to update the data.

Description of operation

< 2000

3.1 Objective

3.2 ARENCO number

3.3 EFRD/ESF/EAGGF/EIFG number

≥ 2000

3.4 CCI number

3.5 Objective - CCI

3.6 Interregional

3.7 Programme

3.8 Programme closure date

3.9 EC decision - number

3.10 EC decision - date

3.11 Priority

3.12 Theme

3.9. EC decision – number

IMS provides automatically the 'EC decision – number' on basis of the CCI-number selected in field 3.4 CCI-NUMBER. This field is non-editable. If you need to change the EC decision number, contact your IMS-country-officer or IMS-liaison-officer. They need to contact OLAF in order to update the data.

3.10. EC decision - date

IMS provides automatically the 'EC decision – date' on basis of the CCI-number selected in field 3.4 CCI-NUMBER. This field is non-editable. If you need to change the EC decision date, contact your IMS-country-officer or IMS-liaison-officer. They need to contact OLAF in order to update the date.

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.



Unfortunately, it can occur that not all priorities and themes are uploaded in IMS. If you discover that something is missing, please inform OLAF via your IMS-Country-Officer or IMS-Liaison-Officer so that the drop-down-list can be updated manually.



If you discover that the IMS-drop-down-lists are incomplete or missing, please put the data in field 11.1 COMMENTS – INITIATING AUTHORITY by putting first the fieldname followed by a colon and then the data itself so that later on the data can be transferred without too much effort from field 11.1 to the field where it should belong.

Territorial unit where the operation takes place

3.13 Country BE Belgium	3.17 Competent authority Supreme High Reporting Authority Helikant am See
3.14 NUTS level 1 BE2 Vlaams Gewest	
3.15 NUTS level 2 BE24 Prov. Vlaams-Brabant	
3.16 NUTS level 3 BE242 M.V. Leuven	

2.3.3 Section – Territorial unit where the operation takes place

This section contains information on the territory where the operation takes place.

NUTS

The Nomenclature of territorial units for statistics, abbreviated NUTS (from the French version Nomenclature des Unités territoriales statistiques) is a geographical nomenclature subdividing the economic territory of the European Union (EU) into regions at three different levels (NUTS 1, 2 and 3 respectively, moving from larger to smaller territorial units). Above NUTS 1, there is the 'national' level of the Member States.

The NUTS is based on Regulation (EC) No 1059/2003 of the European Parliament and of the Council of 26 May 2003 on the establishment of a common classification of territorial units for statistics (NUTS), which is regularly updated. *To avoid misunderstandings: not OLAF's competence!*

3.13. Country

You need to select the country where the operation takes place.

3.14. NUTS level 1

You need to 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.

3.15. NUTS level 2

You need to 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.

3.16. NUTS level 3

You need to 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.

1

2

3

2.4 Pages 4 and 5: Operation specific

Tab pages 4 and 5 contain specific information on the operation or the support measure.

Tab pages 4 and 5 are mutually exclusive; you should enter information on only one of these pages, depending on the fund. Tab page 5 should be used for EAGF and EAFRD. Tab page 4 should be used for all other funds.



Do not enter information in both pages 4 and 5.

2.4.1 Section - Project

4.1.1. Project - name

You need to select a project from the drop-down-list. You can scroll through the list but you can also type in a part of the name of the project and IMS will provide you then with a short list out of which you can select the project.

To add a new project, click the button ADD. Enter the required information and click SAVE. A confirmation message is displayed. Click YES to copy the amounts to page 8 'Amounts'.



If you agree to automatically copying the entered amounts to tab page 8 AMOUNTS (see image 3), the amounts are automatically updated in tab page 8, if you change them in page 4. The amounts on tab page 8 stay editable which implies that you can change them also on tab page 8. Be aware that changing the amounts on tab page 8 does not lead to any changes on tab page 4.

You can also edit or delete already provided information on a project:

1. Click on the project that you want to edit/delete. The details are displayed and can be updated
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.

4.1.2. Project - number

You need to select the official number of the project from the drop-down-list.

4.1.3. Co-financing rate

Enter the agreed rate which has been applied. It can occur that the Commission Decision still contains an outdated rate awaiting an update with the newly agreed rate. As already mentioned, you need to indicate the rate that has been agreed and applied.

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.

4.1.1 Project - name

4.1.2 Project - number

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"/>				

Save Cancel

2.4.2 Section – Financial impact

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



You must enter all amounts manually. In case of 'calculation errors', IMS will only display a warning message, but will not block the reporting. In other words, you can create miscalculations. This has been created on request of the Member States. Please be aware that it is your responsibility to provide correct data and to check if the calculation matches.



You must always enter an amount. If the amount is €0 then indicate €0.



About Amount Formatting

Amounts/numbers have thousand and decimal separators:

Dot ('.') = thousand separator

Comma (',') = decimal separator

Example: 2.250.125,99

Negative values are not allowed.

The field is made of several sub-fields in order to provide the EU-share, the National-share, the Private-share and the Public contribution, as well as the total of these values.

The 'plus' and 'equal' signs ('+' and '=') show the relation between the sub-fields, as follows:

EU-share + National-share = Public contribution + Private-share = Total.

In other words:

	EU-share	
+	<u>National-share</u>	
=	Public contribution	
+	<u>Private-share</u>	
=	total	

4.1.4. Amount of expenditure

You need to enter the amount of the expenditure per project, split up into the EU-share, national-share and private-share.

4.1.5. Amount of irregularity

You need to enter the amount of the irregularity per project, split up into EU-share and national-share.



This amount should not include interests, fines and penalties.

Project

4.1 Project

4.1.1 Project - name	4.1.2 Project - number	4.1.4 Amount of expenditure (EU-share)
Save the Bison	1-Bis-5712	60.000,00
Oaks back in the meadow	HK-3190	50.000,00

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

Add

	EU-share	National-share	Public contribution	Private-share	Total
4.2 Total amount of expenditure	110.000,00 +	90.000,00 =	200.000,00 +	20.000,00 =	210.000,00
4.3 Total amount of irregularity	90.000,00 +	45.000,00 =	105.000,00		

4.4 Control carried out before or after payment:

After payment

Fields 4.2 and 4.3 are filled automatically on basis of the information provided in fields 4.1.4 and 4.1.5.

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.

4.4. Control carried out before or after payment

You need to indicate if a control was carried out before or after payment by selecting it from the drop-down-list.



The value that you select here is will be copied to page 7 'Detection'.

1

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)		

2

5.1.1 Budget year
2016

5.1.2 Budget line
B050212/01/2002015 Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year *

5.1.3 Budget post
B050212 - Milk and milk products

5.1.4 Budget article
B050212/01 - Refunds for milk and milk products

5.1.5 Budget measure
B050212/01/2002015 - Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year 09/10 and earlier.

5.1.6 Product
PC406 Cheese and curd

Financial impact

	EU-share		National-share		Public contribution		Private-share		Total
5.1.7 Amount of expenditure	15.000,00	+	0,00	=	15.000,00	+	0,00	=	15.000,00
5.1.8 Amount of irregularity	15.000,00	+	0,00	=	15.000,00				

3

Please confirm

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

2.5 Page 5: Operation - specific - agriculture

Tab page 5 is meant for the competence agriculture, thus for the funds EAGF and EAFRD. The basis of this tab page is the DGAGRI-nomenclature (budget lines).



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 IMS-Country-Officer or IMS-Liaison-Officer.

2.5.1 Section – Budgetline

You need to add a budget line by selecting one from the drop-down-list. You can scroll through the list but you can also type in a part of the description of the budget line and IMS will provide you then with a short list out of which you can make a selection.

To add a new budget line, click the button

1. ADD and you will be able to indicate the budget year and budget line (see image 1)
2. SAVE to store the information in IMS (see image 2)

As soon as you push the button SAVE a confirmation message is displayed (see image 3). Click YES to copy the amounts to page 8 'Amounts'.



If you agree to automatically copying the entered amounts to tab page 8 'Amounts', the amounts are automatically updated in tab page 8, if you change them on tab page 5. The amounts on tab page 8 stay editable which implies that you can change them on tab page 8.

Be aware that changing the amounts on tab page 8 does not lead to any changes here.

You can also edit or delete already provided information on a budget line:

1. Click on the budget line that you want to edit/delete. The details are displayed and can be updated
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the budgetline from the request.



Cancel editing the budgetline.

5.1. Budget line

You can add a budget line by clicking on the button **Add**. The multi-value-group-field will open.

5.1.1. Budget year

You need to indicate the budget year in which the expenditure was charged to the budget. You can do that by selecting one from the drop-down-list or by putting a year in (format YYYY).



The agricultural year runs from the **16th of October year n-1** until the **15th of October year n**. In other words, the agricultural year 2017 starts on 16/10/2016 and ends on 15/10/2017.

5.1.2. Budget line

IMS generates the applicable budget lines based on the year selected. You can select one from the drop-down-list but you can also search for the budget line by keying in a minimum of 3 characters of either the budget line code or of its description (e.g. 'Cheese').

5.1.1 Budget year

2016

5.1.2 Budget line

B050212/01/2002015 Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year

5.1.3 Budget post

B050212 - Milk and milk products

5.1.4 Budget article

B050212/01 - Refunds for milk and milk products

5.1.5 Budget measure

B050212/01/2002015 - Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year 09/10 and earlier

5.1.6 Product

P0406 Cheese and curd

Financial impact

	EU-share		National-share		Public contribution		Private-share		Total
5.1.7 Amount of expenditure	15.000,00	+	0,00	=	15.000,00	+	0,00	=	15.000,00
5.1.8 Amount of irregularity	15.000,00	+	0,00	=	15.000,00				

5.1.3. Budget post

This field is filled automatically based on information entered in field 5.1.2 Budget line. This field is non-editable.

5.1.4. Budget article

This field is filled automatically based on information entered in field 5.1.2 Budget line. This field is non-editable.

5.1.5. Budget measure

This field is filled automatically based on information entered in field 5.1.2 Budget line. This field is non-editable.

5.1.6. Product

You need to indicate the product concerned. Select the applicable value from the drop-down-list or by keying in a minimum of 3 characters of the code or its description. The code list is based on the CN-code (Combined Nomenclature).

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

5.1.1 Budget year

2016

5.1.2 Budget line

B050212/01/2002015 Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year

5.1.3 Budget post

B050212 - Milk and milk products

5.1.4 Budget article

B050212/01 - Refunds for milk and milk products

5.1.5 Budget measure

B050212/01/2002015 - Refunds for milk and milk products - CN 0406 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year 09/10 and earlier

5.1.6 Product

P0406 Cheese and curd

Financial impact

	EU-share		National-share		Public contribution		Private-share		Total
5.1.7 Amount of expenditure	15.000,00	+	0,00	=	15.000,00	+	0,00	=	15.000,00
5.1.8 Amount of irregularity	15.000,00	+	0,00	=	15.000,00				

2.5.2 Section – Financial impact

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



You must enter all amounts manually. In case of 'calculation errors', IMS will only display a warning message, but will not block the reporting. In other words, you can create miscalculations. This has been created on request of IMS-users in the Member States. It is your responsibility to provide correct data and to check if the calculation matches.

About amount formatting



Amounts/numbers have thousand and decimal separators:

Dot ('.') = thousand separator

Comma (',') = decimal separator

Example: 2.250.125,99

Negative values are not allowed.

The field is made of several sub-fields in order to provide the EU-share, the National-share, the Private-share and the Public contribution, as well as the total of these values.

The 'plus' and 'equal' signs ('+' and '=') show the relation between the sub-fields, as follows:
EU-share + National-share = Public contribution + Private-share = Total.

In other words:

	EU-share	
+	<u>National-share</u>	
=	Public contribution	
+	<u>Private-share</u>	
=	total	

5.1.7. Amount of expenditure

You need to enter the amount of the expenditure per budget line, split up into the EU-share, national-share and private-share.

5.1.8. Amount of irregularity

You need to enter the amount of the irregularity per project, split up into EU-share and national-share.



This amount should NOT include interests, fines and penalties.

5.1.1 Budget year	5.1.2 Budget line	5.1.7 Amount of expenditure (EU-share)
2016	Transport costs within M.S. - skimmed-milk powder - R.1234/07, Art.27; R.807/10, Art.4(5)&7(1); R.945/10, Annex I(b) - programme 2011 - BE, ES, FR, IT, LV, LT, PL, PT, RO, SI, FI	2.500,00
2010	Products purchased on the market - value of product - skimmed-milk powder - R.1234/07, Art.27 - R.3149/02, Art.3(1) - programme 2000 - BE, BG, IE, EL, ES, FR, IT, LV, LT, LU, HU, MT, PL, PT, SI, FI	10.000,00
2010	Refunds for milk and milk products - CN 0400 - cheese - R.1234/07, Art.162(1)(a)(v) - marketing year 09/10 and earlier	15.000,00

Showing 1 to 3 of 3 record(s) Page size: 10

Add

	EU-share	National-share	Public contribution	Private-share	Total
5.2 Total amount of expenditure	27.500,00	0,00	27.500,00	0,00	27.500,00
5.3 Total amount of irregularity	25.000,00	0,00	25.000,00		

5.4 Control carried out before or after payment

After payment

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 3 budget lines were added, the total expenditure is the sum of these 3 budget lines (see image).

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 3 budget lines were added, the total amount is the sum of these 3 budget lines (see image).

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.

Information leading to a suspicion of an irregularity

6.1 Date

6.2 Source

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)			

2.6 Page 6: Irregularity

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

2.6.1 Section – Information leading to a suspicion of an irregularity

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

6.1. Date

You need to select from the calendar the date when the information was received, which led to the suspicion that an irregularity had been committed. Click on the calendar and select a date.

Example:

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

6.2. Source

You need to enter the source of the information, which led to the suspicion that an irregularity was committed.

Example:

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

2.6.2 Section – Provisions infringed

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

Click the button **Add** to start adding a new provision infringed. Enter all the necessary information and click the button **Save** to add the information to the request. Alternatively, click **Cancel** if you do not want to save the information. You must always click one of these buttons to continue.

You can also edit or delete already provided information on provisions infringed:

1. Click on the provision infringed that you want to edit/delete. The details are displayed and can be updated
2. Click one of the following buttons at the bottom of the field:



Save the changes that you made in the fields.



Delete the provisions infringed from the request.



Cancel editing provisions infringed

1

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

200

2

6.3.1 Type

6.3.2 Number

6.3.3 Year

6.3.4 Article and paragraph

3

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

Add

6.4 Provisions - national

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

201

6.3. Provisions – EU

All added provisions infringed are listed in this section. To add a new provision infringed, click the button ADD (see image 1)

6.3.1. Type

IMS offers you the in the drop-down-list the following options:

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

(see image 2)

6.3.2. Number

You need to 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

You need to 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

You need to enter the article and paragraph of the provisions infringed.

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



Be aware that you always need to provide all details, thus type, number and year. If one of these is missing IMS will generate an error message which implies that you cannot continue.

6.4. Provisions - national

You can enter the national provisions infringed in order to be as complete as possible.

In the example, the following text was entered:

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

In the example on the left, 4 different types of provisions infringed have been added (see image 3).

1

Other states involved

6.5 Member State(s)
Select value(s)

6.6 Non-Member State(s)
Select value(s)

2

Other states involved

6.5 Member State(s)
 Czech Republic
 Denmark
 Select All Remove All K. Close

 AT Austria
 BE Belgium
 BG Bulgaria
 CY Cyprus
 CZ Czech Republic
 DE Germany
 DK Denmark
 EE Estonia
 ES Spain

6.6 Non-Member State(s)
Select value(s)

3

Other states involved

6.5 Member State(s)
Select value(s)
 Select All Remove All K. Close

 FI Finland
 NL Netherlands

6.6 Non-Member State(s)
Select value(s)

2.6.3 Section – Other states involved

In this section information about other countries involved (Member States and non-member states) can be provided. This section can be relevant in case of cross border projects, exports refunds or asylum.

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

You can add countries by selecting them from the drop-down-lists. You can make your selection by scrolling through the drop-down-list but also by keying in some characters of the country code or country name (see image on the left).

The codes are based on the ISO-country-code (ISO 3166-1 alpha-2).

Please be aware that a country can be a Member State as well as a non-member state. It depends on the moment of accession. Bulgaria was in 2000 a non-Member-State and in 2010 a Member-State.

6.5. Member States

You can add other Member State(s) involved. You can select one or more countries from the drop-down-list by clicking the tick box (see image 2) but you can also put in one or more characters of the country code or name (see image 3).

In this example, the following Member States have been added:

- CZ Czech Republic
- DK Denmark

6.6. Non-member state(s)

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



To remove countries, open the drop-down-list and untick the selected countries or click the button REMOVE ALL (see image 2).

1

Specific information on the irregularity

6.7 Irregularity committed on / between

6.7.1 From: 01/01/2002 6.7.2 To: 31/12/2002

6.8 Type of irregularity

6.8.1 Category	6.8.2 Type
No record(s)	

2

6.8 Type of irregularity

6.8.1 Category	6.8.2 Type
No record(s)	
<p>6.8.1 Category</p> <p>T40 Public procurement (see annex Commission Decision C[2012]9507)</p>	
<p>6.8.2 Type</p> <p>T40/17 Modification of a tender during evaluation</p> <p>T40/18 Negotiation during the award procedure</p>	
<p>6.8.3 Type of irregularity</p> <p>T40 - T40/L7 T40/18</p>	

Save Cancel

2.6.4 Section – Specific information on the irregularity

This section contains more specific information on the irregularity.

6.7. Irregularity committed on / between

You need to indicate 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 end day are not known, select the first day respectively the last day of the month. You may not select dates that are in the future.

Example:

An irregularity took place in 2003 but it is not known when it exactly took place. In such case, the following dates can be indicated: 01/01/2003 – 31/12/2003 (see image 1)

6.8. Type of irregularity

You need to add the type(s) of irregularity. The types of irregularity have been grouped into main categories.

Click the button ADD to start adding a type of irregularity. Select all possible types of irregularity and click the button SAVE to add the types of irregularity to the request. Alternatively, click the button CANCEL to stop. You must always click one of these buttons in order to continue.

You can also edit or delete already provided information on type of irregularity:

1. Click on the type of irregularity that you want to edit/delete. The details are displayed and can be updated
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:

- Public procurement / modification of a tender during evaluation
- Public procurement / negotiation during the award procedure



Be aware that IMS contains expired codes such as for instance T16/08 concerning public procurement. This code was replaced in August 2015 with category T40. If you want to update a case in which code T16/08 was used, you need to update also this section otherwise you will get an error message, which implies that you cannot continue.

1

6.8 Type of irregularity

6.8.1 Category	6.8.2 Type
Beneficiary	T12/01
Bankruptcy	T18/02
Public procurement (see annex Commission Decision C(2013)9527)	T40/17 T40/18

Showing 1 to 3 of 3 record(s) Page size: 10

2

6.8.1 Category	6.8.2 Type
Beneficiary	T12/01
Bankruptcy	T18/02
Public procurement (see annex Commission Decision C(2013)9527)	T40/17 T40/18

6.8.1 Category
 Public procurement (see annex Commission Decision C(2013)9527) ✖

6.8.2 Type
 Modification of a tender during evaluation
 Negotiation during the award procedure

6.8.3 Type of irregularity
 T40 - T40/17 T40/18

Showing 1 to 3 of 3 record(s) Page size: 10

6.8.1. Category

The types of irregularity have been grouped into several categories. In order to indicate a type of irregularity, you first need to select the category from the list.

Example:

The category BENEFICIARY was selected.

6.8.2. Type

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

Example:

The selected type is:

'T12/01 non-existent operator / beneficiary

You can select more than 1 type per category at the same time (see image 2)

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 6.8.1 'Category' and 6.8.2 'Type'.

You can repeat the steps described in 6.8.1 – 6.8.3 as many times as necessary to indicate all types of irregularities encountered in the case.

6.9 Modus operandi

An imaginary natural person was indicated on the farm to apply for EU-subsidies. By handing over modified documents such as an identification card which was "free tunnel" to fulfill the conditions under which EU-support could be obtained, the impression was given that the beneficiary existed. See the attachments for more details



6.10 Statement of persons involved

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



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 this and makes use of it by applying "en masse" for this kind of support



6.12 Classification of the irregularity

IR03 Suspected fraud



6.9. Modus operandi

You need to describe the practices employed in committing the irregularity, the modus operandi (MO). You could for instance copy a part of the (audit) report into this text box (CTRL C ⇨ CTRL V).

A more in depth description of the applied modus operandi will improve the analyses performed by analysts of Commission (including OLAF), Member States and non-Member States.

See the example on the left hand side.

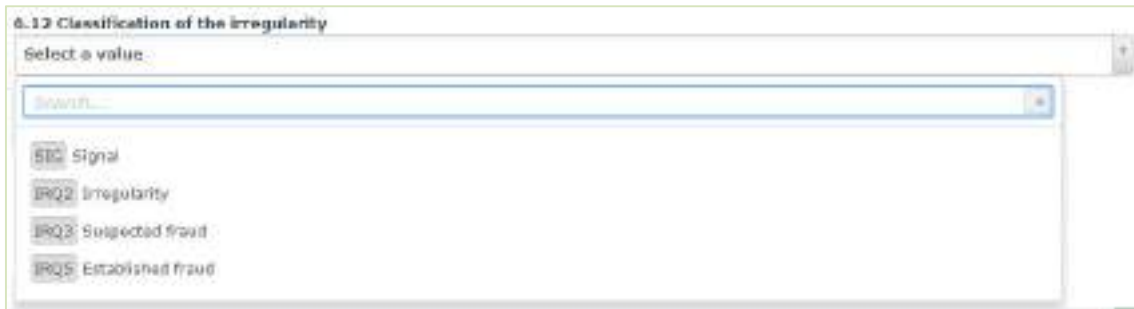
6.10. Statement of persons involved

It is common practice to ask the person concerned to give a reaction on the findings of an authority (principle of audi alteram partem). Such reaction can be processed in this field. See the image on the left.

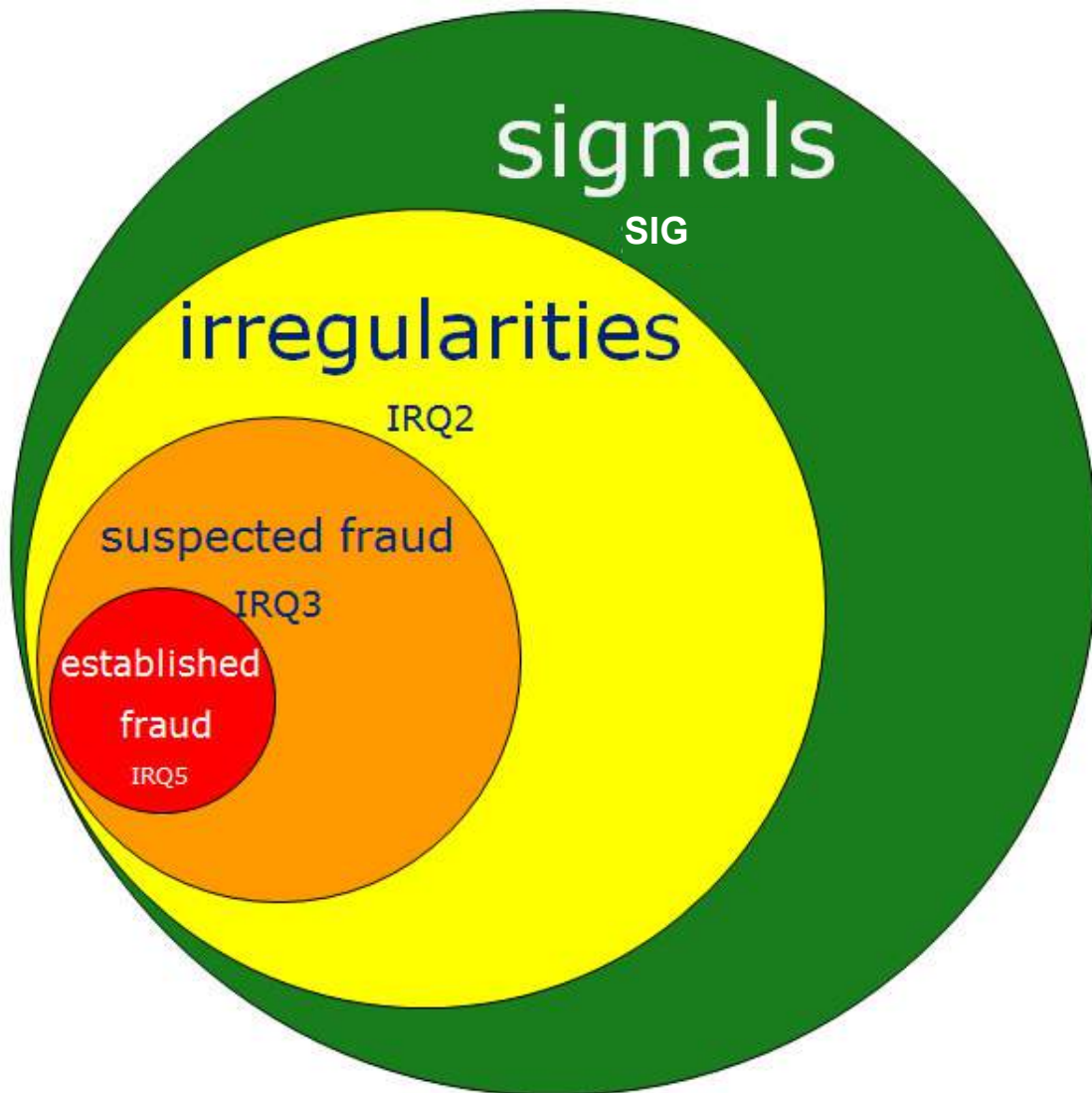
6.11. Findings of the administration

You need to enter the findings of the authority after having heard the person(s) involved (see field 6.10. 'Statement of persons involved') in this field. See the image on the left.

1



2



All frauds are irregularities but not all irregularities are fraud...

6.12. Classification of the irregularity

You need to classify the case. The drop-down-list offers you the following options:

SIG – signal (suspicion of an irregularity))

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



A signal is a request that is meant for national purposes. A request that has been classified as signal cannot be submitted to the Commission.

A signal indicates that there is a suspicion that an irregularity has been committed but that still needs to be decided if the facts established an irregularity or not.

As mentioned, a signal will not be submitted to the Commission but remains at the national level. The signal is meant to keep on national level record of all cases of suspicion of an irregularity and should be seen as an extra service from the Commission to the countries.

At the moment a decision has been taken on a signal, two options exist:

1. the case is not an irregularity
2. the case is an irregularity

If the case is a non-irregularity, the request can

1. be rejected and deleted
2. stay in IMS as signal

If the case appears to be an irregularity, the manager can "reject" the case so that the creator can reclassify the case from signal into IRQ2, IRQ3 or IRQ5. The request will then follow the normal path.

IRQ2 – irregularity in sense of Reg. 2988/95

All cases of irregularity should be at least classified as IRQ2. It is the lowest classification.

IRQ3 – suspected fraud

You should classify a case as 'suspected fraud' if the irregularity was committed intentionally or with the knowledge of wrong doing (mens rea).

For example: all types of irregularity in which the word 'false' or 'falsified' occur, such as 'false or falsified documents'.

IRQ5 – established fraud

You should classify the case as 'Established fraud' when there is a final Court decision, thus when fraud has been proven in Court.



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



More information on the classification of irregularities can be found in the Handbook on Reporting of irregularities in shared management 2017.

Control

2.1 Date of discovery (PACA)
08/01/2018

2.2 Reason for performing a control (why)
04001 Information published in the media

2.3 Type and/or method of control (how)
05001 Control of accounts

2.4 Control carried out before or after payment
02 After payment

2.5 Competent authority
Committee for Inquiry and Audit

Save

2.7 Page 7: Detection

You can process on this tab page information on how the irregularity was detected.

2.7.1 Section – Control

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

7.1. Date of discovery (PACA)

You need to select the date when the irregularity was discovered. Just click on the calendar and select a date.

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 2014. An audit was performed at the beginning of January 2005. The findings were put in an audit report on the 5th of January 2015.

You are advised to read also the Handbook on Reporting of irregularities in shared management 2017, which is a coproduction of Member States and Commission and provides practical support which will help you to comply with the reporting obligations.

7.2. Reason for performing a control (why)

You need to 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 large number of options such as 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)

You need to select the type of control and/or the method used to perform the check. In other words, 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.

1

Control

7.1 Date of discovery (PACA)

7.2 Reason for performing a control (why)

7.3 Type and/or method of control (how)

7.4 Control carried out before or after payment

7.5 Competent authority

2

OLAF investigation

7.6 OLAF investigation

7.7 OLAF number

7.8 Dismissed by OLAF

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 already indicated that on tab page 4 or 5, the information is copied into this field. The field is editable thus you can change it.



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'.

7.5. Competent authority

You need to enter the authority that detected the irregularity.

Example:

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

2.7.2 Section – OLAF investigation

OLAF performs administrative investigations in close cooperation with Member States and candidate countries. If an OLAF-investigation is launched concerning an already reported irregularity, then you should use this section to update the already provided information. If the case was not yet reported then you should report it as soon as possible and provide all necessary information including this section.

If no OLAF-investigation was launched, you can skip this section.

7.6. OLAF investigation



You need to switch the box to YES (I) if an OLAF-investigation was launched for this case.

7.7. OLAF number

You need to enter the number of the OLAF-investigation. OLAF-investigators will provide you with that the number.

The OLAF-number consists of 3 parts:

- Reference : IMS adds the code OF / OC 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 become '0012'.

7.8. Dismissed by OLAF



It can occur that OLAF decides not to start an investigation but to hand the case over to a national authority with the request to act. If that is the case, IMS will be used to monitor the follow up by that national authority. In such case, you should indicate that by moving the switch from NO to YES (I).

As soon as all national procedures have been completed and finalised, you can upload a report as attachment.

Financial impact

	EU-share		National-share		Public contribution		Private share		Total
8.1 Amount of expenditure	<input type="text" value="150.000,00"/>	+	<input type="text" value="50.000,00"/>	=	<input type="text" value="200.000,00"/>	+	<input type="text" value="50.000,00"/>	=	<input type="text" value="250.000,00"/>
8.2 Amount of irregularity	<input type="text" value="150.000,00"/>	+	<input type="text" value="25.000,00"/>	=	<input type="text" value="125.000,00"/>				
8.2.1 whereof not paid	<input type="text" value="25.000,00"/>	+	<input type="text" value="10.000,00"/>	=	<input type="text" value="35.000,00"/>				
8.2.2 whereof paid	<input type="text" value="75.000,00"/>	+	<input type="text" value="15.000,00"/>	=	<input type="text" value="90.000,00"/>				
8.3 Amount to recover	<input type="text" value="75.000,00"/>	+	<input type="text" value="15.000,00"/>	=	<input type="text" value="90.000,00"/>				
8.4 Decertified	<input type="text" value="0"/>								
8.5 Comments	<div style="border: 1px solid #ccc; height: 80px; width: 100%;"></div>								

2.8 Page 8: Amounts

2.8.1 Section – Financial impact

This section contains detailed information on the financial impact. The expenditure and the irregular amount are indicated on this tab page.

The expenditure is split up into public contribution (EU-share and national-share) and private share, as the irregular amount is split up in EU-share and national-share.



You need to use all fields of tab page 8 Financial impact, even when the amount is €0 (zero). Thus none of the fields should stay empty.

IMS does not provide any automatic calculation. You need to indicate 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. Miscalculations are accepted. The latter is on request of Member States to cover also those exceptional cases in which $1 + 1 \neq 2$.

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 tab page 4 'Operation-Specific-Project' or from tab 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. You can also edit the amounts directly on tab page 8. However, if you change the amounts in tab page 8, they will **not** be updated in page 4 or page 5. The latter is on request of Member States to cover also those exceptional cases where there could be a discrepancy between the amounts indicated on tab pages 4 or 4 and tab page 8.



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

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



About amount formatting

Amounts/numbers have thousand and decimal separators:

Dot ('.') = thousand separator

Comma (',') = decimal separator

Example: 2.250.125,99

Negative values are not allowed.

The field is made of several sub-fields in order to provide detailed information on EU-share, National-share, Private-share and Public contribution, as well as the total of these values.

The 'plus' and 'equal' signs ('+' and '=') show the relation between the sub-fields, as follows:
EU-share + National-share = Public contribution + Private-share = Total.

In other words:

Public contribution equals EU-share and national-share.

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

	EU-share	
+	National-share	
=	Public contribution	
+	Private-share	
=	total	

Financial impact

	EU-share		National-share		Public contribution		Private-share		Total
8.1 Amount of expenditure	130.000,00	+	30.000,00	=	200.000,00	+	50.000,00	=	250.000,00
8.2 Amount of irregularity	100.000,00	+	25.000,00	=	125.000,00				
8.2.1 whereof not paid	25.000,00	+	10.000,00	=	35.000,00				
8.2.2 whereof paid	75.000,00	+	15.000,00	=	90.000,00				
8.3 Amount to recover	75.000,00	+	15.000,00	=	90.000,00				

8.4 Decertified

8.5 Comments

- Save as draft
- Finalise
- Send
- Delete request
- Cancel

8.1. Amount of expenditure

You need to enter the total amount of the expenditure, split up into EU-share, national-share and private-share.

8.2. Amount of irregularity

You need to 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).

Normally, the irregular amount does not change during the life cycle of an irregularity.



If repayments are made through an installment agreement, the amounts entered in fields 8.2. 'Amount of irregularity', 8.2.1 'whereof not paid' and 8.2.2. 'whereof paid ' remain the same thus do not change!

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

You need to 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

You need to 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.

8.3. Amount to recover

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

This amount is normally equal to the amount indicated in the previous field (8.2.2. 'whereof paid').

8.4. Decertified

You need to switch the box if the project has been excluded from EU support thus has been decertified. The "decertified amount" needs to be indicated on tab page 9 in field 9.4 Amount deducted or written off.



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

You need to provide an explanation about the decertification and its impact (see field 8.5 'Comments'.)

Recovery

<p>9.1 Start date of procedure</p> <div style="border: 1px solid #ccc; padding: 2px; display: flex; align-items: center;"> 📅 <input style="width: 100%;" type="text" value="05/12/2015"/> </div>	<p>9.2 Expected end date of procedure</p> <div style="border: 1px solid #ccc; padding: 2px; display: flex; align-items: center;"> 📅 <input style="width: 100%;" type="text" value="17/12/2020"/> </div>					
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">EU-share</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%;">National-share</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%;">Public contribution</td> </tr> </table>	EU-share	+	National-share	=	Public contribution
EU-share	+	National-share	=	Public contribution		
9.3 Amount to recover	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">75.000,00</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">15.000,00</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">90.000,00</td> </tr> </table>	75.000,00	+	15.000,00	=	90.000,00
75.000,00	+	15.000,00	=	90.000,00		
9.4 Amount deducted, written off etc.	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">-</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">-</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">-</td> </tr> </table>	-	+	-	=	-
-	+	-	=	-		
9.5 Amount recovered	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">25.000,00</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">10.000,00</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">35.000,00</td> </tr> </table>	25.000,00	+	10.000,00	=	35.000,00
25.000,00	+	10.000,00	=	35.000,00		
9.6 Balance to recover	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">-</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">-</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">-</td> </tr> </table>	-	+	-	=	-
-	+	-	=	-		
9.7 Amount repaid to the EU budget	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">5.000,00</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">5.000,00</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">10.000,00</td> </tr> </table>	5.000,00	+	5.000,00	=	10.000,00
5.000,00	+	5.000,00	=	10.000,00		
9.8 Amount retained by the country	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">=</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">=</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">=</td> </tr> </table>	=	+	=	=	=
=	+	=	=	=		
9.9 Amount of interest charged	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">45.000,00</td> <td style="width: 10%; text-align: center;">+</td> <td style="width: 33%; border: 1px solid #ccc; padding: 2px;">0,00</td> <td style="width: 10%; text-align: center;">=</td> <td style="width: 14%; border: 1px solid #ccc; padding: 2px;">45.000,00</td> </tr> </table>	45.000,00	+	0,00	=	45.000,00
45.000,00	+	0,00	=	45.000,00		
9.10 Recovery procedures already launched	9.11 Recovery measures already taken					
4 July 2017: recovery order was sent to Jack MISCONDUCT	1 August 2017: bank guarantee was provided by Nicole MISCONDUCT					
1943	1957					
9.12 End date of procedure						
📅 <input style="width: 100%;" type="text"/>						

2.9 Page 9: Recovery

On this tab page you can provide detailed information on the recovery which is still mandatory for the funds for which IMS still functions as an accounting system:

- Cohesion policy
- Pre-accession assistance

concerning programming periods before PP2007-2013.

On request of Member States, this tab page can be used for all funds thus also when there is no obligation to provide such information. Many countries use IMS also for national purposes therefore tab page 9 is also used for other funds than mentioned above.



The amounts should not include interests, fines and penalties. Interests can be entered in field 9.9. Amount of interest charged while fines and penalties can be reported on tabpage 10.

See the image on the left for an example.

The relation between the amount fields on this page is as follow:

$$\begin{array}{rcl}
 & 9.3 \text{ Amount to recover} & \\
 - & 9.4 \text{ Amount deducted or written off} & \\
 - & \underline{9.5 \text{ Amount recovered}} & \\
 = & 9.6 \text{ Balance to recover} &
 \end{array}$$

9.1. Start date of procedure

You need to indicate the date on which 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



You need to indicate the date on which the recovery procedure is expected to be completed. Please 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 tab page 8. Be aware that the amounts on tab page 8 are based on the amounts indicated on tab page 4 or tab page 5.

9.4. Amount deducted, written off etc.

You need to indicate the amounts that not have to be recovered due to for instance a deduction during interim or final payment or a write off. Please specify in an attachment the amount indicated.

The idea is that you indicate in this field all amounts which have not been recovered but do have an impact on the amount to recover.

9.5. Amount recovered

You need to indicate the amounts that have been recovered.

9.6. Balance to recover

You need to indicate the amounts that still need to be recovered (outstanding debt).

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	<input type="text" value="75.000,00"/>	+	<input type="text" value="15.000,00"/>	=	<input type="text" value="90.000,00"/>
	-		-		-
9.4 Amount deducted, written off etc.	<input type="text" value="25.000,00"/>	+	<input type="text" value="10.000,00"/>	=	<input type="text" value="35.000,00"/>
	-		-		-
9.5 Amount recovered	<input type="text" value="5.000,00"/>	+	<input type="text" value="5.000,00"/>	=	<input type="text" value="10.000,00"/>
	=		=		=
9.6 Balance to recover	<input type="text" value="45.000,00"/>	+	<input type="text" value="0,00"/>	=	<input type="text" value="45.000,00"/>
9.7 Amount repaid to the EU budget	<input type="text" value="0,00"/>				
9.8 Amount retained by the country	<input type="text" value="0,00"/>				
9.9 Amount of interest charged	<input type="text" value="0,00"/>				

9.10 Recovery procedures already launched

1943

9.11 Recovery measures already taken

1957

9.12 End date of procedure

9.7. Amount repaid to the EU-budget

You need to indicate the amounts paid back to the EU-budget.

9.8. Amount retained by the country

For some funds a country can retain a percentage of the recovered amounts, if specific conditions are fulfilled (see the applicable regulations). If that is the case, you need to indicate that amount in this field.

9.9. Amount of interest charged

You need to indicate the interests charged.

9.10. Recovery procedures already launched

You need to indicate 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

You need to indicate the measures taken to recover the unduly paid amounts, such as, for instance, a bank guarantee or deposit.

Example:

Information on a bank guarantee was provided.

9.12. End date of procedure

You need to indicate the date on which the recovery procedures were completed and finalised.



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

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

 04/07/2017

10.4 Expected end date of procedure

 17/12/2020

10.5 Status of procedure

INIT Initiated x ▼

2.10 Page 10: Sanctions

This page should be used to provide information on sanctions and penalties.

2.10.1 Section – Procedures

This section should be used to provide information on the procedures initiated to impose penalties.

10.1. Procedures initiated to impose penalties

You need to 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

The option SP1 standing for "no decision yet" makes it possible to indicate always something.



You must always enter a value in this field!

10.2. Type of procedure

You need to 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

You need to select from the calendar the date on which the procedure was initiated.

10.4. Expected end date of procedure

You need to select from the calendar the expected end date of the procedure.



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

1

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

10.7 End date of procedure

-
-
-
-
-

2

10.6.1 Category

Select a value

10.6.2 Type

Select a value

10.6.3 Sanctions applied

10.6.4 Fines applied

2.10.2 Section – Sanctions

This section can be used to provide detailed information on the sanctions imposed. You can add one or more sanctions.

10.6. Sanctions

Click the button ADD to start adding a sanction (see image 1). Enter all the necessary information and click the button SAVE to add the sanction to the request. Alternatively, click the button CANCEL to stop. You must always click one of these buttons in order to continue (see image 2).

You can also edit or delete a sanction:

1. Click on the sanction that you want to edit/delete. The details are displayed and can be updated
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

You need to select one of the two following categories from the drop-down-list:

- S1 – administrative
- S5 – penal

10.6.2. Type

You need to select one type 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 button ADD to save the information.

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

10.6.3. Sanctions applied

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

10.6.4. Fines applied

You need to indicate the amount(s) of the fines imposed. If no fines have been imposed, you can leave the field empty.



Be aware that indicating €0 implies that a fine was imposed. A zero fine is a fine!

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.

1

Comments

11.1 Comments - Initiating authority

1. The procedures are progressing faster than expected.

2. The attached documents provide more information on the practices employed, especially on the role of the external consultant.

31815

11.2 Comments - OLAF

32000

2

Attachments

11.3 Attachments

+ Add files...

Audit report.docx	Delete
Court decision.docx	Delete
Court order.docx	Delete
Investigation report.docx	Delete

Attachment comments

11.4 Attachments description

- 4 attachments were uploaded. The names of these 4 files describe the content.

3923

Save as draft
Finalise
Delete request
Export
Cancel

2.11 Page 11: Comments

2.11.1 Section – Comments

This section can be used to provide information that could not be entered in one of the previous tab pages. The information provided here will make the report (more) complete.

11.1. Comments - initiating authority

You can enter any additional information concerning the case. You can, for instance, use this field to explain why you added attachments to this request (see image 1)

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, can be described in this field.

2.11.2 Section – Attachments

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

11.3. Attachments

You can attach additional documents or files (see image 2).

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.

You cannot attach files which are considered to be "executables". Files that cannot be attached could have one of the following extensions:

- Exe
- Dll
- Reg
- Cmd
- Bat

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 FINALISE (or SEND if you have manager rights) the request or SAVE AS DRAFT. The request will only be finalised/sent/saved as a draft if it is valid. For more information, see the next chapter: chapter 3 Validation.

11.4. Attachment description

In this field you can provide additional information on the attachments. You could for instance indicate what kind of information is stored in the attachment.

1

Identification

* 1.1 Fund
 Select a value
 You must select a fund.

* 1.2 Year
 2017

* 1.3 Programming period
 Select a value
 You must select a programming period.

1.4 Reference number - national
 Haor Land - AHIF 2017-1

Buttons: Save as draft, Finalise, Send, Delete request, Export, Cancel

2

Financial Impact

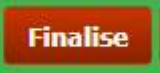
	EU share	National share	Public contribution	Private share	Total
1.1 Amount of expenditure	90,000.00	10,000.00	75,000.00		
Warning: The Public contribution should be equal to the sum of the EU share and the National share.					
1.2 Amount of irregularity	65,000.00	55,000.00	85,000.00		
1.2.1 whereof not paid	15,000.00	0.00	15,000.00		
Warning: EU share: The amount should be less than or equal to the corresponding amount in the Amount of irregularity. Warning: Public contribution: The amount should be less than or equal to the corresponding amount in the Amount of irregularity.					

3. Validation

A request needs to be valid in order to finalise or save it. This means that no mandatory fields were left blank and all entered information follows the business rules.

You can check if your request is valid by clicking one of the following buttons:

1. FINALISE
2. SAVE
3. SEND (if you are an IMS-manager)



After a validation, IMS shows the number of errors and warnings in the relevant header tabs (see image 1). The difference between an error and a warning is that an error needs to be corrected otherwise it will not be possible to save the data. A warning can be neglected.

Ad Errors

As mentioned above, an error needs to be corrected. In the example (see image 1) is indicated that two (2) errors occur on tab page 1.

As soon as you open tab pag 1, you will spot immediately the errors. An error message is displayed below the field that contains an error. You must correct the error before you can save, finalise or send the request.

Ad Warnings

As mentioned above, a warning does not have to be followed up. You can neglect the warning message. In the example is indicated that three (3) possible inconsistencies occur on tab page 8. It concerns in this case miscalculations ($1 + 1 = 3$).

The warning message is displayed below the relevant field. You can still save, finalise or send the request, even if the information entered in the fields is incorrect. However, you are advised to correct the field that the warning was generated for.

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



A request can only be saved after a positive validation (meaning: no errors!).

4. Support team contact information

Support related to the process of irregularity reporting can be obtained from:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

Use and processing of IMS-information (article 5 of the delegated acts)

1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.

IMS **User Manual 8: Search**
Irregularity Management System

Subject	Search
Version / State	0.2/ Draft
Release Date	25/10/2018
Document Reference	AFIS-IMS-UserManual-search.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

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>This manual is meant to describe the features of IMS.</p>	<p>Irregularity Management System (IMS)</p>

Number of pages	Number of lines	Host system	Software
22	624	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	15/10/2018	Aligned introduction and contact pages, final review business owner	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	How to connect to AFIS Portal using Secure Internet connection	6.0	12/07/2017
RD2	How to connect to AFIS Portal using CCN	How to connect to AFIS Portal using CCN	4.0	14/07/2017
RD3	AFIS Portal User Manual	AFIS-APM-UserManual.docx	6.0	29/01/2018

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About this Manual

The initial IMS-manual which was released in 2016 became too big, therefore it is has been split up into booklets. Each booklet is a manual which deals with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

 Warning! Very important information, please read carefully.

 Tip to improve a working practice

This manual concerns the search facilities in IMS. This manual describes how searches can be performed in IMS.

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Requirements to report irregularities provide such information. You will find the handbook also on ALIB and CIRCABC.

1

The screenshot shows the main dashboard of the IMS. The top navigation bar includes 'Home', 'Cases', 'Requests', 'Search', 'Export / Import status', and 'Administration'. A 'My info' button is on the right. The main content area is divided into three sections: 'Cases' (with links for Amend, Close, Reopen, Analyse, and View All cases), 'Requests' (with a View All requests link), and 'Search' (with links for Search for cases and Search for requests). Below the Search section is the 'Export / Import status' section with links for Import requests, Import CCI numbers, Import budget cases, Import RUTS cases, View Import status, and View Export status. A large green arrow labeled '1' points from the 'Search' menu item in the top bar to the search filters in the second screenshot. Another green arrow labeled '2' points from the 'Search for cases' link in the top bar to the search filters in the second screenshot. A third green arrow labeled '3' points from the 'Search for requests' link in the top bar to the search filters in the second screenshot.

This screenshot shows the search filters for cases. The top navigation bar is the same as in the first screenshot, but the 'Search' menu item is highlighted in red. Below the navigation bar, there are two tabs: 'Search for cases' (highlighted in red) and 'Search for requests'. The search filters are arranged in two columns. The left column contains: 'Reference number - OLAF' (text input), 'Case ID' (text input), and 'Fund' (dropdown menu with 'Select a value'). The right column contains: 'Persons' (text input), 'Person involved' (text input), and 'National ID number' (text input).

This screenshot shows the search filters for requests. The top navigation bar is the same as in the first screenshot, but the 'Search' menu item is highlighted in red. Below the navigation bar, there are two tabs: 'Search for cases' and 'Search for requests' (highlighted in red). The search filters are arranged in two columns. The left column contains: 'Reference number - OLAF' (text input), 'Case ID' (text input), and 'Fund' (dropdown menu with 'Select a value'). The right column contains: 'Persons' (text input), 'Person involved' (text input), and 'National ID number' (text input).

1. Search

1.1 Introduction

The search facility is the key to access data in a database. IMS offers various ways to perform a search.

On the home screen, the search page can be opened via a click on the button:

1. SEARCH in the header of the tab pages after which you have to select:
 - a. SEARCH FOR CASES
 - b. SEARCH FOR REQUESTS or
2. SEARCH FOR CASES in the box SEARCH or
3. SEARCH FOR REQUESTS in the box SEARCH

It is up to you to decide which method to apply; what suits you best. This manual will provide some guidance to get familiar with the search facility.



Please be aware that the search facility is only meant to find a specific case or request. The search facility is NOT meant to function as an analysis tool. If you want to perform analysis, export data and use data analysis tools to perform your analysis.

<p>Reference number - OLAF</p> <p>Case ID</p> <p>Fund</p> <p>Country</p> <p>Initiating authority</p> <p>Year</p> <p>Sequence number</p> <p>Reference number - national</p> <p>Initiating authority - complete name</p> <p>Case status</p> <p>Dates</p> <p>Date of discovery (PACA)</p> <p>Registration date</p> <p>Quarter</p> <p>Case with attachments</p> <p>Special case</p> <p>New modus operandi</p> <p>Person found in several cases</p>	<p>Persons</p> <p>Person involved</p> <p>National ID number</p> <p>Operation - general</p> <p>Programming period</p> <p>Objective</p> <p>Objective - CCI</p> <p>CCI number</p> <p>ARINCO number</p> <p>ERFD/ERF/EAGGF/ERFG number</p> <p>Operation - specific project</p> <p>Project - name</p> <p>Project - number</p> <p>Operation - specific agriculture</p> <p>Budget year</p> <p>Budget line</p> <p>Classification</p> <p>Sanctions applied</p> <p>Amount of irregularity - EU-share</p> <p>Status</p> <p>Proceedings</p> <p>Financial status</p>
<p>Search</p> <p>Export</p> <p>Reset</p>	

1.2 Search Page

The IMS search page opens as soon as you click on:

1. Search for cases
2. Search for requests

You need to make a choice between a search for cases or requests. The difference between a case and a request is explained in the IMS-user-manual "Cases and requests". The search itself does not really differ between the two. There are only minor changes related to the nature of a case and request. As search criteria for requests you can, for instance, opt for a search on REQUEST ID and REQUEST TYPE.

You can introduce one-to-many criteria in your search in order to find a case or request. Please be aware that introducing search criteria implies that you are limiting the output. The more criteria you put in, the less will come out. You even run the risk that you will not find what you are looking for even when the information is in IMS. Know what you are doing!



You can also leave the search screen empty and push the button SEARCH or EXPORT. IMS will then provide you an overview of all cases or requests. Thus by selecting nothing, you get everything! Analysts have in general as practice to export all data and to use their own analysis tools to analysis the data. In other words, an analyst will normally not put in any search criteria.

1.3 Available search criteria

The search criteria are based on the fields in IMS. Initially the number of search criteria was kept low, but on request of the IMS-users, the number of search criteria increased enormously and more fields will be added in the future. Many IMS-fields are included in the search criteria.

A print screen of the search criteria can be found in the image on the left hand side. The manual "Create a case" contains a detailed description per field. In this manual, only a few fields are highlighted, the ones of which one can be expected to be used most:

CASEID	IMS generates a unique case number at the moment a case is created. It is the quickest way to find a case in IMS.
Reference number – OLAF	The number that was used in the past to identify cases in the seven ECR and IMS-modules. The introduction of IMS4 (2014) meant the move to one database which made the Reference number – OLAF not anylonger unique. Nevertheless, it is still used by many users to search for a case in IMS.
Reference number - national	The number attributed by the country that reported the case.
Fund	The fund related to the expenditure and irregularity.
Persons involved	The names of the persons involved (beneficiaries, fraudsters and so forth).

Reset

IMS keeps the search criteria in its memory after you have performed a search. This is a well thought choice. It makes it possible to do an export with the same search criteria after you have performed a search and it makes it possible to fine tune your search when the initial search led to too many hits and you feel the need to drill down. If you want to do a complete new search, you can push the button RESET to empty all fields. You will find the button RESET at the bottom of the search page. Of course, you can also empty all fields manually.



1

Home Cases Requests **Search** Export / Import status - Administration - My Info

Search for cases Search for requests

Reference number - OLAF

Case ID

Fund **YES** Youth Employment Initiative

Country

Initiating authority

Year Sequence number

Persons

Person involved

National ID number

Operation - general

Programming period

Objective

Search **Export** **Reset**

2

Search for cases Search for requests

List of cases Refresh

Case ID	Reference number - OLAF	Reference number - national	Programming period	Status
141805	YES / BE / AFSE / 2017 / 49770	OLAF/2017/02	2014-2020	Open
141804	YES / BE / AFSE / 2017 / 49686	W007996	2014-2020	Open
138853	YES / CV / TOR / 2017 / 45072		2014-2020	Zero notification
136188	YES / CZ / MPOV / 2018 / 56292	CZ-03-1-31/0-0/0/13_000/000199/18/001R/11228	2014-2020	Closed
136189	YES / CZ / MPOV / 2018 / 56574	CZ-03-1-31/0-0/0/13_000/000199/18/001R/11227	2014-2020	Closed
131941	YES / FR / CICC / 2017 / 86871	PON (B) 201400312	2014-2020	Open
131942	YES / FR / CICC / 2017 / 86872	PON (B) 201503617	2014-2020	Open
131110	YES / LT / MOP / 2018 / 50825	R1305/SADP/07-4-1-03PA-V-204-01-0001/01	2014-2020	Closed

Showing 1 to 8 of 8 record(s)

Page size: 20 « 1 »

Export

1.4 Performing a search

The topic "how to perform a search" will be explained by using a simple example: you want to have an overview of the cases related to the fund YEI (Youth Employment Initiative).

You put as search criteria YEI in field FUND (see image 1). You click the button SEARCH and IMS will perform a search and display the results as soon as it has finished the search (see image 2).

IMS indicates at the bottom the total number of records (8 cases) which are all displayed because of the limited number of YEI-cases and a page size that was set on 20 records per page.

You can click on everything what is highlighted green (see image 2). By clicking on the CASE ID, the case will open. If you click on the green highlighted text of the column STATUS (right hand side), a new screen will open on which the history of the case is shown, meaning all requests related to that case. The request ID's of those requests are also highlighted green which implies that you can also click on those numbers to access also those requests. You can go back to the previous screen by clicking the button BACK.

The button EXPORT is shown dimly which implies that nothing can be exported. This will change at the moment you select one or more cases via the tick box on the left hand side. As soon as you select one or more cases, you will be able to export your selection in excel by pushing the button EXPORT.

1.4.1 Freetext Search – Wildcards in IMS

IMS makes in freetext fields use of the wildcard asterisk (*). The wildcard is an advanced search technique that can be used to maximize your search results in library databases. Wildcards are used in search terms to replace or represent one or more characters.

For example: To get the search result "irregularity", the user may search by any of the following:

Wildcard example	Explanation
irr*	Find words that start with "irr".
*ty	Find words that end with "ty".
gu	Find words that contain "gu" but do not start or end with it.
i*y	Find words that start with "i" and end with "y".

IMS uses by default the wildcard asterisk (*) in all freetext fields. By default implies that you do not have to insert it in your search. The search will use automatically all conditions, thus the conditions:

- begins with
- ends with
- contains
- word matching

If you put in "reg", IMS will provide an overview of cases in which these 3 characters occur. It will not be relevant if these three characters are used at the beginning, the end or within a word or line.

Search by *John* => gives as results cases with John; Johnson; Johnny
=> does not give as results cases with Jonathan

Search by *Ele* => gives as results cases with Elena; Celentano; Helen

Search by *Ena* => gives as results cases with Ena; Elena

The freetext fields in the facility SEARCH are:

- Reference number – national
- Initiating authority – complete name
- Person involved
- National ID number
- Reference number – national
- CCI-number
- ARINCO-number
- EFRD/ESF/EAGFF/FIFG-number
- Budget line

Please be aware that the "wildcard search" only works for freetext fields. For all other fields count that IMS will only perform a search on what has been put in as criteria.



Of course, search criteria need to respect the IMS-format. Example: a search on the year 200 will not lead to any results because it does not respect the format yyyy.

1

2

case	2.1.4 Company name Family name	2.1.5 Trade name First name	2.1.6 Parent name Independent prefix
1	Frozen Bakery Products NV		
2	Warme Broodje VOF	Bakerrij Bakt ze Bruin	
3	Warme Broodje VOF	Bakerrij Bakt ze Bruin	
4	Bread and Butter LTD		Bakery Spelt LTD
5	Baker & Baker		
6	Morning baker		
7	Baker	John	
8	Bakerianus		
9	Ma baker Dance Projects		
10	Black Sea Bakery Investments S.L.		
11	DLW All Grain and Wheat		Bakeries International RS
12	BB LTD		Brown Bakery LTD

1.4.2 How to perform a freetext search

You can perform a search by keying in the term on which you want to perform a search.

Example:

You want to find the cases in which John Baker is mentioned. You key the name "baker" in the search field PERSON INVOLVED (see image 1).



The search criteria are case insensitive which implies that it is not relevant to use capitals (or not).

IMS will perform a search on the term "baker".

A search via the search field PERSON INVOLVED implies a search in 3 fields:

- | | | | |
|----------------|--------------|--|--------------------|
| 1. Field 2.1.4 | Company name | | Family name |
| 2. Field 2.1.5 | Trade name | | First name |
| 3. Field 2.1.6 | Parent name | | Independent prefix |

A search on PERSON INVOLVED is a very specific search. The name of a person could occur in one of the above described fields. To avoid that you have to perform three times the same search and have to add the results together, IMS performs in one go a search on three fields. Of course, the results are also shown in one overview.



After the search is performed, IMS will show all cases in which the text "baker" occurs. You can check that case by case in IMS but you can also export the data in excel and check the data in excel. In this example, we exported the data in excel and checked fields 2.1.4 – 2.1.6. The text "baker" occurs as follow (see image 2):

- alone (case 7)
- part of a word (cases 1, 2, 3, 4, 6, 8, 10, 11, 12)
- in combination with other words (cases 5, and 9)
- part of a word together with a combination with other words (cases 1, 2, 3, 4, 5, 10, 11 and 12)

A search on the term "john baker" would have as result "no records":

List of cases					Refresh
<input type="checkbox"/>	Case ID	Reference number - OLAF	Reference number - national	↓	Status
No record(s)					

The reason is that the term "john baker" does not occur in the fields 2.1.4 – 2.1.6. IMS performs a search on the term "john baker" without concatenating the data of the fields 2.1.4 – 2.1.6



Start your search with a short search term (3 – 5 characters) and refine your search if the number of hits is too high. Remember, the more specific a search the higher the risk of "no hit" although the case is in IMS.

1

Home Cases Requests Search My info

Search for cases Search for requests

Reference number - OLAF

Case ID

Fund
Select a value

Persons

Person involved

National ID number

Search Export Reset



2



Home Cases Requests Search Export / Import status Administration My info

Search for cases Search for requests

+

Search

List of cases Refresh

Case ID	Reference number - OLAF	Reference number - national	Registration date	Date of last change	Status
16412	EAGF/EAFRD / ES / 6 / 2005 / 362	MS93/3/ES/03/5562	23/02/2009 00:09:00	02/07/2010 13:11:44	Closed
9059	EAGF/EAFRD / UK / 6 / 2003 / 96	EXETER 2903.096	23/02/2009 00:09:00	05/07/2010 09:53:26	Open

3



Home Cases Requests Search Export / Import status Administration My info

Search for cases Search for requests

-

Reference number - OLAF

Case ID

Persons

Person involved
baker

1.5 Reset

IMS keeps the search criteria in its memory after you performed a search. This is a well thought choice thus done on purpose. It makes it possible:






- to do an export with the same search criteria after you have performed a search
- to fine tune your initial search in order to drill down (see also Edit a search).

If you want to do a complete new search, you can push the button RESET (see image 1) which will empty all fields. Of course, you can also empty all fields manually.

1.6 Edit a Search

When the search results are listed, the search criteria are hidden behind those results. If you want to fine tune your search criteria, you just click the button  (see image 2).

IMS will bring you back to the search criteria section. You will see that all your criteria are still in. You can then add, delete or modify your search and push again the button SEARCH or EXPORT.

 When you click the button  and went back to the search criteria section, you will see that the button  changed into . By clicking on the button  (see image 3), you go back to the previous search results even when you already changed your search criteria. The new search criteria will only have effect after you have pushed the button SEARCH or EXPORT.



Home Cases Reports Search Export / Import data Administration My info

Open (40077) Closed (31232) Zero Notifications (0) Cancelled (10073) Duplcat (10014) Archived (1) All

Search

List of cases Refresh

Case ID	Reference number - DEAF	Reference number - police	Programming period	Date of discovery (MACA)	Status
135504	DMF / NO / JPPHAPS / 2017 / 4496	DHM-RSM-2017-regular	2014-2020	23/03/2017	Open
82733	EAGY/SMPD / AT / 3 / 2014 / 10010	042128121861201	2007-2013	26/03/2014	Open
82735	EAGY/SMPD / AT / 3 / 2014 / 10011	042128121867754	2007-2013	26/03/2014	Open
82737	EAGY/SMPD / AT / 3 / 2014 / 10012	042128121868608	2007-2013	26/03/2014	Open
82741	EAGY/SMPD / AT / 3 / 2014 / 10013	042128121874068	2007-2013	26/03/2014	Open

Showing 1 to 5 of 4627 record(s)

Page size: 5, 10, 100

1.7 Search – the other one...

IMS offers also on every tab page a search facility. This search facility is limited to the cases presented on that tab page.

In the example (see image 1), you will find 5 cases displayed due to the page size of 5 records per page. If you perform a search on this tab page, the search will only be performed in the 5 cases displayed. If you set the page size on 100, the search will be performed on 100 cases.

This search facility is meant to perform a quick search on the cases which you selected via the tab page (incoming, finalised, rejected etc) or via SEARCH. In other words, you already know that the case that you are looking for is on that page but you do not know which one.

2. Support Team Contact Information

In case of problems, you should contact:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

Use and processing of IMS-information (article 5 of the delegated acts)

1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.

IMS

Irregularity Management System

User Manual 9: Excel export and import

Subject	Excel export and import
Version / State	0.2/ Draft
Release Date	26/10/2018
Document Reference	AFIS-IMS-UserManual-excel export and import.docx
Document Owner	OLAF – D4



Document Identification

	Name, Function	Date	Signature
Written by	Ben Van Der Fels (OLAF D2)	03/10/2016	
Updated by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Checked by	Ben Van Der Fels (OLAF D2)	15/10/2018	
Approved by	Ben Van Der Fels (OLAF D2)	15/10/2018	

Summary:	Keywords:
IMS is the application that allows the preparation and submission of irregularity reports to the European Anti-Fraud Office (OLAF). This manual is meant to describe the features of IMS.	Irregularity Management System (IMS)

Number of pages	Number of lines	Host system	Software
46	1474	PC-Windows 7	Word 2010

Document History

Ed.	Rev.	Date	Description	Action (*)	Sections
0.1	0	01/10/2015	Document creation	C	All
0.2	1	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
0.3	2	17/11/2016	Internal review in AFIS	C, D, I, R	All
0.4	3	30/05/2018	Aligned introduction and contact pages, final review business owner	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	How to connect to AFIS Portal using Secure Internet connection	6.0	12/07/2017
RD2	How to connect to AFIS Portal using CCN	How to connect to AFIS Portal using CCN	4.0	14/07/2017
RD3	AFIS Portal User Manual	AFIS-APM-UserManual.docx	6.0	29/01/2018

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About this Manual

The initial IMS-manual, released in 2016, became too big, therefore it has been split up into booklets. Each booklet is a manual which deals with a particular subject.

The following manuals have been created or will be created:

1. IMS-concepts
2. IMS-users and their roles
3. Cases and requests
4. How to access IMS
5. Create a case
6. Update, close, reopen and cancel a case
7. Amend and anonymise a case
8. Search
9. Excel export and import
10. List, view and print
11. Abbreviations and acronyms


All manuals will be published on ALIB (AFIS Library) and CIRCABC.


The manuals are meant as an orientation tool for all IMS-users. They gather information users should be familiar with in order to be able to exploit the IMS-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 manuals contain 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:


 This icon 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.

 This icon is used for temporary limitations of the system. They will be removed from the document in a future version of the system.

 Warning! Very important information, please read carefully.

 Tip to improve a working practice

This manual concerns "Excel export and import" and describes how to export and import data.

 The IMS-manuals are not meant to provide an in-depth-explanation or in-depth-interpretation of the regulations and reporting obligations. The Handbook on Requirements to report irregularities provide such information. You will find the handbook also on ALIB and CIRCABC.

1. Export Cases and Requests

Introduction

All cases and all requests can be exported as an MS excel file. This will make it possible for you to perform all kind of tasks such as for instance quality checks, analyses or uploading it any other database.

You can export all types of requests:

- request to create a case
- request to close a case
- request to cancel a case
- request to reopen a cae
- request to amend a case
- request to anonymise a case

The status of a case is not relevant. Of course if you export a case with the status CANCELLED, the export will only contain some basic reference data of tab page 1.

You can export one, two to many, as well as all cases or requests. The export is based on your selection. IMS will always create per export task one excel file.

The export will be in the format xlsx, follow the structure of IMS and will always contain all in IMS available fields. In other words, also fields which were left empty or irrelevant for a specific competence or fund will be exported.



Depending on the browser that you are using, you will be asked to open or to save the file after the export has been completed.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.



ZERO NOTIFICATIONS are not considered to be cases or requests therefore cannot be exported.

1

2


3

A	B	C	D	E	F	G	H	I
Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Case ID	Reference number - OLAF
	31/05/2017	12/09/2017	OPEN				138859	AMIF / RO / AMPNFAMI / 2017 / 44966

2. Export Requests

2.1 Introduction

The procedure to export cases and requests is the same. In this manual, we will explain the export of requests as well as the export of cases to instruct you as IMS-user as detailed as possible. Of course, this will lead to some repetition.

 On the following pages, examples are used to demonstrate the export data. Please be aware that an export depends on the browser that you are using. The examples used in this manual are based on the use of CHROME (version 64). The use of a different browser can lead to other (in between) steps in the export process. The end result will always be the same.

2.2 Export a request

An export of a request can be achieved in several ways. You can:

1. Push the button EXPORT when you are in a request
2. Select from a tab page one or more requests and push the button EXPORT
3. Select via search and push the button EXPORT.

Ad 1 Push the button EXPORT when you are in a request


You can export the request which you are viewing or working on by a click on the button EXPORT. You will find that button at the bottom of the screen (see image 1).

As soon as you push the button EXPORT, the request will be exported in excel. At the left bottom of the screen a message will pop up with the name of the excel file (see image 2).

You click or double click on it and it will open (see image 3).



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.

 Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.

1

2

3

	A	B	C	D	E	F	G	H	I
1									
2	Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Case ID	Reference number - OLAF
3		16/04/2018		OPEN	SENT	58991	CLOSE	100001	ERDF / CZ / MMR1 / 2015 / 10001
4		18/08/2017		OPEN	SENT	493855	CANCEL	18638	ERDF / DE / RP / 2007 / 110002

Ad 2 Select from a tab page one or more requests and push the button EXPORT

The tab page REQUEST can, depending on your role, consist out of several sub tab pages:

- Incoming
- Outgoing
- Finalised
- Rejected
- Draft
- Zero notification
- Sent to OLAF
- All

By clicking on one of the sub tab pages, a screen will open on which you will find the requests that belong to that tab page. IMS will display 5, 20, 50 or 100 requests per page depending on the choice you made at the bottom of the page in the box PAGE SIZE. In the example, the page size is set on 5 (see image 1).

Example:

If you click on the sub tab page INCOMING, an overview will be provided of all incoming requests thus the requests that have been sent by a lower reporting authority. In the example, the tab page incoming contains in total 136 requests. You will find that indicated in the header of the tab page.

(Note: tab page incoming implies that a manager of the reporting authority should check the requests, approve (or reject) the requests and send them to the next level).

You can select one or more of these incoming request by ticking the tick box in front of each REQUEST ID after which you can push the button EXPORT with as result that all selected requests will be exported in excel (xlsx). In the example, 2 requests have been selected.

You can also export all on the screen displayed requests by ticking the tick box on top of the column, next to the term REQUEST ID. This means that you can export in one go maximum 5, 20, 50 or 100 requests depending on the choice you made in the box PAGE SIZE. In the example the page size has been set on 5 thus maximum 5 requests can be exported (thus not the total number of 136 records!).

As soon as you push the button EXPORT, the request will be exported in excel. At the left bottom of the screen a message will be displayed that an excel file has been created (see image 2). You click or double click on it and it will open (see image 3).

If you want to export more requests than the requests displayed on the screen, you need to do that via the tab page SEARCH and sub tab page REQUEST SEARCH CRITERIA (see on the next page Ad 3 Select via search and push the button EXPORT).



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.

1

2

Please confirm to go to the Export / Import status page. Note the below ID as the reference to download the file. ✕

11122329

Yes No

3

Task ID#	Process	Task	Active	Activity date and time	Start date and time	End date and time	Number of records (OK, NOK)	Status
11122329	IMS_Export_Case_15012218071430_AFS_Operations.xlsx	Export case	Active	15/05/2018 07:54:20	16/05/2018 07:54:20	16/05/2018 07:54:20	3 (0 / 0)	Completed

Ad 3 Select via search and push the button EXPORT.

The tab page SEARCH REQUESTS and sub tab page REQUEST SEARCH CRITERIA offer you the possibility to search for one, two to many, or all requests. Just define your search and push the button EXPORT.

In the example, the fund AMIF has been selected which implies that all requests related to the fund AMIF will be displayed or exported (see image 1). Of course, you can add additional criteria. You can fine tune your search as detailed as you want.



Start with as less as possible search criteria and, if necessary, add later additional search criteria to fine tune or limit your selection.

After having pushed the button EXPORT, a confirmation message will be displayed (see image 2).

Click **Yes** to go to the tab page 'EXPORT/IMPORT STATUS. The page will be displayed. You will find there a table which contains several columns (see image 3).

A brief explanation of the different columns:

Header	Description
Task ID	All exports performed get a unique ID (sequence number of the task)
Filename	When the export task is completed, shows the name of the Excel file to export and its extension (.xlsx)
Task	Describes the task. In this situation, the task is: Export request
Action	No value
Action date and time	The date and time of the export. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Start date and time	The date and time at which IMS started to export the data. This is NOT available when the status is 'Not started'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
End date and time	The date and time at which IMS finished the export. Only available if the status is 'Completed'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Number of records (OK; NOK)	This number is visible only for the tasks that are either in progress or completed. It shows the total number of requests (to be) exported and in brackets if the export was successful or not. While exporting, IMS shows for every 1,000 the progress of the number of requests already exported. Therefore, IMS shows the total number of requests and the number of records that are OK (OKAY) and NOK (NOT OKAY). <u>OK (OKAY) – requests already processed / exported successfully</u> <u>NOK (NOT OKAY) – requests not exported due to a problem</u> <i>For example:</i> <u>3500 (1000 ; 0) means 3500 total requests should be exported, 1000 are already processed, 0 requests found with problems.</u> <u>3500 (3500 ; 0) means 3500 total requests should be exported, 3500 are exported, 0 requests found with problems.</u>
Status	Possible statuses: <ul style="list-style-type: none"> ▪ Not started ▪ In progress ▪ Completed



If you view a screen with a display resolution below 1024 pixels, fewer columns are displayed. 'Case ID', 'Reference number-OLAF', 'Registration date', 'Date of last change', and 'Status' remain always visible.

1

Export / Import status

Task ID	File name	Task	Action	Action date and time	Start date and time	End date and time	Number of records (OK, NOK)	Status
1332200	IMS_Export_Case_16052018075420_AFIS_Operations.xlsx	Export case		15/05/2018 07:54:20	15/05/2018 07:54:20	15/05/2018 07:54:20	3 (2 / 0)	Completed

Showing 1 to 5 of 3 record(s)

Page size: 20

2

Opening IMS_Export_Case_16052018075420_AFIS_Operations.xlsx

You have chosen to open:

IMS_Export_Case_16052018075420_AFIS_Operations.xlsx
 which is: Microsoft Excel Worksheet (15.7 kB)
 from: <https://afis.olaf.europa.eu>

What should Firefox do with this file?

Open with Microsoft Excel (default)

Save File

Do this automatically for files like this from now on.

OK Cancel

3

Reference number - OLAF

Case ID

Field
ISEE Analysis, Migration and Integration Field

Country
Select a value

Persons

Person involved

National ID number

Operation - general

Search Export Reset

2.3 Export Search Results

As already mentioned, when you click on the file name a confirmation message is displayed which offers you the possibility to open the file or to save the file (see images 1 and 2).

Make your choice.

Open the file

In case you opt for "open with", an excel file will appear on the screen in which the requests are displayed. From row 3 onwards you will find your data. Rows 1 and 2 contain the field headers. The file can be saved on your computer via the normal excel procedure, including renaming the file.

Save the file

You can also opt for "save". In that case, IMS will ask you in which folder the file should be saved. The normal excel procedure is applied thus you can also change the name of the file. After having it saved, you can open the file.

From row 3 onwards, each row represents a request. The first two rows contain the headers of the fields.



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.



When you export search results, the cases/requests are directly exported as an excel file, they will not be listed on screen.



If you first want to check your search, then you can push the button SEARCH and the results of your search will be displayed on the screen without exporting them. You can then select one or more of these requests and push the button EXPORT as described above under Ad 2. If you want to export your search completely, you have to rerun your search but instead of clicking on SEARCH, you click on EXPORT (see image 3).



When you export search results, the export task is performed in an asynchronous way meaning that the export operation starts after preceding operations have been completed. The file is added to a status list and put into a queue for being processed.

If there are more than 100 requests, the export task waits in the queue for other tasks to be completed, if any exist. As soon as the other tasks are completed, the export starts.

If there are less than 100 requests to export, the export task starts immediately, without waiting in the queue.

Awaiting the export, you can continue to work in IMS.

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	A	B	C	D	E	F	G	H	I
1									
2	Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Case ID	Reference number - OLAF
3		25/09/2017	25/09/2017	OPEN				143893	YEI / BE / AFSE / 2017 / 49778

3. Export Cases

The procedure to export cases and requests is in principle the same as the procedure to export requests. In this manual, you will find a detailed explanation for the export of requests as well as the export of cases in order to instruct the IMS-user as detailed as possible.

3.1 Export a case

An export of a case can be achieved in different ways. You can:

1. Push the button EXPORT when you are in a case
2. Select from a tab page one or more cases and push the button EXPORT
3. Select via search and push the button EXPORT.

Ad 1 Push the button EXPORT when you are in a case

You can export the case which you are viewing or working on by a simple click on the button EXPORT. You will find that button at the bottom of the screen (see image 1)

As soon as you push the button EXPORT, the case will be exported in excel. At the left bottom of the screen a message will be displayed that an excel file has been created (see image 2). You click or double click on it and it will open (see image 3).



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.

1

2

	A	B	C	D	E	F	G	H	I
1									
2	Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Case ID	Reference number - OLAF
3		31/05/2017	12/09/2017	OPEN				143893	YEI / BE / AFSE / 2017 / 49778
4		06/06/2017	12/09/2017	OPEN				143894	YEI / BE / AFSE / 2017 / 49686

Ad 2 Select from a tab page one or more cases and push the button EXPORT

The tab page CASES can, depending on your role, consist out of several sub tab pages:

- Open
- Closed
- Zero notification
- Cancelled
- Expired
- Anonymised
- All

By clicking on one of the sub tab pages, a new screen will open on which you will find cases that belong to that tab page. The total number of cases is displayed in the header of the tab page. In the example, the tab page OPEN contains 47422 cases. IMS will display 5, 20, 50 or 100 cases per page depending on the choice you made at the bottom of the page in the box PAGE SIZE. In the example, the page size is set on 5.

You can select one or more of these open cases by ticking the tick box in front of each CASE ID. After you have made your selection, you push the button EXPORT with as result that all selected cases will be exported in excel (.xlsx). You can also export all on the screen displayed cases by ticking the tick box on top of the left column (tick box next to the header CASE ID).

In the example (see image 1), two cases have been selected.

As soon as you push the button EXPORT, the cases will be exported in excel. At the left bottom of the screen a message will pop up with the name of the excel file. You click or double click on it and it will open (see image 2).

If you want to export more cases than the cases displayed on the screen, you need to do that via the tab page SEARCH and sub tab page CASE SEARCH CRITERIA (see on the next page Ad 3 Select via search and push the button EXPORT).



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.

1

2

Please confirm to go to the Export / Import status page. Note the below ID as the reference to download the file. ✕

11122329

Yes No

3

Task ID	Username	Task	Active	Activity date and time	Start date and time	End date and time	Number of records (OK; NOK)	Status
11122329	IMS_Export_Care_1001288001400_AFI_Operations_admin	Export case	Yes	15/05/2018 07:54:20	15/05/2018 07:54:20	15/05/2018 07:54:20	3 (2 ; 0)	Completed

Ad 3 Select via search and push the button EXPORT.

The tab page SEARCH CASES offers you the possibility to search for one, several or all cases. Just define your search and push the button EXPORT.

In the example, the fund AMIF has been selected (see image 1)

As soon as you push the button EXPORT, a confirmation message is displayed (see image 2).

Click **Yes** to go to the tab page 'EXPORT/IMPORT STATUS. The page will be displayed. You will find there a table which contains several columns (see image 3).

A brief explanation of the different columns:

Header	Description
Task ID	All exports performed get a unique ID (sequence number of the task)
Filename	When the export task is completed, shows the name of the Excel file to export and its extension (.xlsx)
Task	Describes the task. In this situation, the task is: Export request
Action	No value
Action date and time	The date and time of the export. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Start date and time	The date and time at which IMS started to export the data. This is NOT available when the status is 'Not started'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
End date and time	The date and time at which IMS finished the export. Only available if the status is 'Completed'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Number of records (OK; NOK)	This number is visible only for the tasks that are either in progress or completed. It shows the total number of requests (to be) exported and in brackets if the export was successful or not. While exporting, IMS shows for every 1,000 the progress of the number of requests already exported. Therefore, IMS shows the total number of requests and the number of records that are OK (OKAY) and NOK (NOT OKAY). <u>OK (OKAY) – requests already processed / exported successfully</u> <u>NOK (NOT OKAY) – requests not exported due to a problem</u> <i>For example:</i> <u>3500 (1000 ; 0) means 3500 total requests should be exported, 1000 are already processed, 0 requests found with problems.</u> <u>3500 (3500 ; 0) means 3500 total requests should be exported, 3500 are exported, 0 requests found with problems.</u>
Status	Possible statuses: <ul style="list-style-type: none"> ▪ Not started ▪ In progress ▪ Completed



If you view the screen with a display resolution below 1024 pixels, fewer columns are displayed. 'Case ID', 'Reference number-OLAF', 'Registration date', 'Date of last change', and 'Status' remain visible.

1

2

3

	A	B	C	D	E	F	G	H	I
1									
2	Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Case ID	Reference number - OLAF
3		31/05/2017	12/09/2017	OPEN				143893	YEI / BE / AFSE / 2017 / 49778
4		06/06/2017	12/09/2017	OPEN				143894	YEI / BE / AFSE / 2017 / 49686

3.2 Export Search Results



As already mentioned, when you click on the file name a confirmation message is displayed which offers you the possibility to open the file or to save the file (see image 2).

Make your choice.

Open the file

In case you opt for "open with", an excel file will appear on the screen in which the cases are displayed. From row 3 onwards you will find your data. Rows 1 and 2 contain the field headers (see image 3). The file can be saved on your computer via the normal excel procedure, including renaming the file.

Save the file

You can also opt for "save". In that case, IMS will ask you in which folder the file should be saved. The normal excel procedure is applied, including renaming the file. After having it saved, you can open the file.



This example is based on the use of CHROME. The export procedure depends on the browser that you are using. A different browser could lead to different steps in the export procedure.



Please be aware that most computers save an export automatically in an folder in which all downloads are stored even if you indicate that it should be stored in a specific folder. In other words, the file will be stored twice. If you make use of a computer of a colleague who also has access to IMS, then your export will also be automatically saved on that computer although you indicated that it should be stored on your USB-stick.



When you export search results, the cases/requests are directly exported as an excel file, they will not be listed on screen.



If you first want to check your search, then you can push SEARCH and the results of your search will be displayed on the screen without exporting them. You can then select one or more of these cases and push the button EXPORT as described above under Ad 2. If you want to export your search completely, you have to rerun your search but instead of clicking on SEARCH, you click on EXPORT.



When you export search results, the export task is performed in an asynchronous way meaning that the export operation starts after preceding operations have been completed. The file is added to a status list and put into a queue for being processed.

If there are more than 100 requests, the export task waits in the queue for other tasks to be completed, if any exist. As soon as the other tasks are completed, the export starts.

If there are less than 100 requests to export, the export task starts immediately, without waiting in the queue.

Awaiting the export, you can continue to work in IMS.

4. Import Requests

Introduction


You can import requests in IMS if you have one of the following roles:

- IMS-country-officer
- IMS-manager
- IMS-creator

You can use this functionality to create new cases, to update existing ones, to close cases and so forth.

The requests to import must be in a specific excel template. You can obtain that template by exporting one case.

The excel-import-facility is ideal and easy to use for updating already existing cases. You export the cases that you want to update, modify the data (by making use and respecting the excel template) and import the data again in IMS.

 The excel-import-facility can also be used to create new cases. However, be aware that creating a request from scratch is rather demanding. It demands an in-depth-knowledge of the reporting obligations, the translation of these reporting obligations into strings (drop-down-lists/codelists), the excel template and MS Excel itself. The creating from scratch will not be dealt with in this manual.

1

	G	H	I	J	K	L	M	N	O
1						Reference number - OLAF			
2	Request type	Case ID	Reference number - OLAF	1.1 Fund	Country	Initiating authority	1.2 Year	Sequence number	1.3 Programming period
3		143893	YEI / BE / AFSE / 2017 / 49778	YEI	BE	AFSE	2017	49778	2014-2020

4.1 Updating existing cases

The excel-import-facility can be used to update already existing cases. You export the cases that you want to update and save the excel-export-file on your computer. You can also export all cases and delete, from your excel file, the cases which you do not want to update. Many ways lead to Rome.



The excel-export-file is also the template for the excel-import-file!

You open the file and will find, from row 3 onwards, per row a case. The rows 1 and 2 are the headers of the excel file and contain the IMS-fieldnames. The column headings have the same description as the IMS-fieldnames.

Some of the columns of the excel file are coloured grey such as for instance columns K and L concerning the reporting country and reporting authority (see image 1). These grey coloured columns are filled by IMS itself at the moment you import a request. The reason is that such information is already available at the moment you log in, thus IMS generates such data by itself. You can leave these columns empty because any information provided by you will go lost. Data put in the grey columns will not be imported in IMS. An overview of all fields, including the "grey fields" can be found in annex 1 of this manual.

1

F	G	H
Request ID	Request type	Case ID
560932	UPDATE	25414
560870	UPDATE	25670
561193	CLOSE	68854
560888	UPDATE	25500
AMEND		34957
CLOSE		47156
REOPEN		

2

AC	AD	AE
1.17 Case closure date	1.18 Case irrecoverable	2.1.1 Legal status
	FALSE	
	FALSE	company
	FALSE	company
	FALSE	company
	FALSE	company
15/05/2018	TRUE	company
	FALSE	company
	FALSE	company
	FALSE	company
	FALSE	company

3

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

You can change the data of all fields, except the grey coloured fields/columns. However, be aware that some fields fulfil a specific role during the import process which makes that such fields need to meet the conditions set. It concerns columns and fields as:

Column G	:	request type
Column X	:	1.12 New modus operandi
Column Y	:	1.13 Necessity to inform other countries
Column Z	:	1.14 Person found in other case(s)
Column AD	:	1.18 Case irrecoverable
Column EF	:	7.6 OLAF investigation
Column EJ	:	7.8 Dismissed by OLAF
Column FB	:	8.4 Decertified

The excel table will only allow you to indicate a specific value such as for instance FALSE or TRUE. Such value will always be displayed in English thus not in any of the other EU-languages (see images 1 and 2).

Request type

Important is to indicate in column G the type of request (see image 1). Depending on your role, you need to make a choice out of one of the following options:

- update
- open
- close
- cancel
- amend
- anonymise

If you forget to indicate the type of request, IMS generates an error message which implies that the data has not been imported. In the example the error message is : unknown action / action not allowed (see image 3).



Please note: the following actions are not possible through import of a request:

- Update draft requests
- Accept or reject requests

1



2



3



4




To import a request or a case:

1. go to tab page EXPORT/IMPORT STATUS
2. click the button IMPORT REQUESTS (see image 1)
3. click the button + ADD FILE (see image 2)
4. select the file that you want to import and click the button OPEN (see image 3)

The file is added. If you want to delete the file because you selected the wrong file, just click the button DELETE (see image 4)

Import with warnings:

 IMS makes a distinction between errors and warnings. An error will block any further processing while a warning means that something seems to be incorrect but the data processing, in this case the import process, can continue. An example of a warning is for instance a miscalculation in the amounts. It is up to you to decide if warnings should be followed up (or not thus neglected).



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 (see image 4).



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.

You have several import options:

1. Dry run
2. Save as draft
3. Save as finalised
4. Save as send

Ad 1 Dry run:

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



If you select this option, the request is not imported (simulation!).

Ad 2 Save as draft:

By selecting "save as draft" the excel file is imported in IMS and the requests are saved as draft which implies that you can still modify the data. Of course, you need to do that in IMS itself.

Ad 3 Save as finalised:

By selecting "save as finalised" the excel file is imported in IMS and the requests are saved as finalised which implies that you cannot modify the requests any longer. The IMS-manager needs to check the requests and can send or reject them.

Ad 4 Save and Send:

If you are an IMS-manager, you can also import the request as "save and send". The requests are then immediately send to the next level in the reporting structure.

Click one of these buttons to start the import process.


1

2

Task ID	Filename	Task	Action	Action date and time	Start date and time	End date and time	Number of records (OK; NOK)	Status
11121003	FD - test file for manual jobs	Import request	Dry run	17/08/2018 13:01:31	17/08/2018 13:01:40	17/08/2018 13:01:44	6 (3 ; 3)	Completed

3

Number of records (OK; NOK)
6 (3 ; 3)

 Be aware that the excel import file must be the correct version as required by IMS. To get the correct version, export a case and reuse that excel file for import.

The import process is visualised in a status list (see image 1). The following fields are available:

Header	Description
Task ID	All imports get a unique identification number (ID= sequence number of the task) This is, of course, for audit reasons.
Filename	Shows the name of the Excel import file and its extension (xlsx)
Task	Describes the task. In this situation, the task is: Import request
Action	Send or Dry run
Action date and time	The date and time of the import. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Start date and time	The date and time at which IMS started to import the file. This is NOT available when the status is 'Not started'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
End date and time	The date and time at which IMS finished the import. Only available if the status is 'Completed'. Date format dd/mm/yyyy, time format hh:mm (24 hours / 60 minutes).
Number of records (OK; NOK)	This number is visible only at the end of the import process. It shows the number of requests that have been imported (OK) or rejected (NOK) <u>OK (OKAY) – requests imported successfully</u> <u>NOK (NOT OKAY) – requests not imported due to a problem</u> <i>For example:</i> <i>6 (3:3) means 6 requests have been processed of which 3 were imported successfully and 3 were rejected.</i>
Status	Possible statuses: <ul style="list-style-type: none"> ▪ Not started ▪ In progress ▪ Completed

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. Check the status to see the reason of failure.

In the example, IMS indicates that we tried to import 6 requests of which 3 were OK and 3 NOK (see image 3).

1

Home

Export / Import status Refresh

Task ID	Reference	Task	Action	Action date and time	Start date and time	End date and time	Number of records (OK, ERROR)	Status
11111000	PS - test file for manual data	Import Request	OK	18/09/2018 11:13:40	18/09/2018 11:13:39	18/09/2018 11:13:39	6 (3 / 3)	Completed

2

Home | Cases | Requests | Search | Export / Import status | Administration | My Info

Request number	Request ID	Reference number - SLAP	Status
4		802F / 13 / 0 / 2003 / 3	Completed with success
4		802F / 13 / 0 / 2004 / 1	Completed with success
5		048FEMPD / 16 / 0 / 2000 / 40	Completed with success
6		802F / 13 / 0 / 2003 / 1	Completed with error
7		802F / 13 / 0 / 2003 / 1	Completed with error
8		700 / SLAP / null / null	Completed with error

Showing 1 to 6 of 6 record(s) Page size (20 / *)

Back

3

Home | Cases | Requests | Search | Export / Import status | Administration | My Info

Request number	Request ID	Reference number - SLAP	Status
4		802F / 13 / 0 / 2003 / 3	Completed with success
4		802F / 13 / 0 / 2004 / 1	Completed with success
5		048FEMPD / 16 / 0 / 2000 / 40	Completed with success
6		802F / 13 / 0 / 2003 / 1	Completed with error
7		802F / 13 / 0 / 2003 / 1	Completed with error
8		700 / SLAP / null / null	Completed with error

Showing 1 to 6 of 6 record(s) Page size (20 / *)

Task name	Validation message	Wrong value in Import file
6.0.1 Type	Validation failed	14018
1.1.1 Proceedings	List with inactive rows selected	2004
6.2 Demand of irregularity - Public contribution	Warning: Public contribution: The amount should be less than or equal to the corresponding amount in the Amount of expenditure	64616.0
6.2 Demand of irregularity - Business	Warning: Business: The amount should be less than or equal to the corresponding amount in the Amount of expenditure	64616.0

Showing 0 to 0 of 0 record(s) Page size (20 / *)

Back

4.2 Import status

The status of an import can be:

1. Not started : the import has not started yet
2. In progress : the system is processing the file to import.
3. Completed : the processing was completed. If there were errors in the file and/or you selected to import 'without warnings', the file is not imported.

Ad 1 Not started

The status "not started" implies that the system did not yet start the import process although you pushed the button. It could be that the system is awaiting the completing of an already running import process.

Ad 2 In progress

The status "in progress" implies that the import is on its way. As soon as that has been completed the status will be "completed".

Ad 3 Completed

The status "completed" implies that the import process has been finalised. The number of OK and NOK indicates how successful the import was. In the example, 6 cases were imported of which 3 OK and 3 NOK.

NOK

The term NOK stands for NOT OKAY. IMS indicates why a request was NOK. By clicking on COMPLETED in the column STATUS, IMS will provide you with detailed info on why a request was NOK.

A new screen will open in which is indicated in the column RECORD NUMBER which records caused errors. The column RECORD NUMBER indicates the row of the excel file in which an error was detected. By clicking again in the column STATUS on the description COMPLETED WITH ERRORS detailed information will be provided on the error itself. In the example, the errors related to row 7 are displayed (see images 1-3).

The example concerns an update of cases which already existed before IMS5 went into production (1 April 2016). The errors are listed in image 3.

1

	A	B	C	D	E	F	G	H
1								
2	Reporting path	Registration date	Date of last change	Case status	Request status	Request ID	Request type	Request type
3		25/03/2010	11/08/2017	OPEN			UPDATE	
4		25/03/2010	18/07/2017	CLOSED			REOPEN	
5		20/02/2009	09/12/2016	OPEN				
6		25/03/2010	25/03/2010	OPEN				
7		25/03/2010	25/03/2010	OPEN				
8								
9								

- CREATE
- UPDATE
- CLOSE
- REOPEN
- CANCEL
- AMEND


2

	person 1	person 2	person 3
2.1.1 Legal status	natural	legal	natural
2.1.2 National ID number			
2.1.3 Beneficiary ID number			
2.1.4 Family name / Company name	Hope	LTD Grass	Baker
2.1.5 Trade name / First name	Bob		John
2.1.6 Parent name / Independent prefix		LTD Mother	the
2.1.7 Street	Mainstreet 1		Square Milk 10
2.1.8 Postcode	1000	876125	4518
2.1.9 City	Bizzcity	Parlin	Osmo


3

2.1.1 Legal status	2.1.2 National ID number	2.1.3 Beneficiary ID number
natural legal natural		
2.1.4 Family name / Company name	2.1.5 Trade name / First name	2.1.6 Parent name / Independent prefix
Hope LTD Grass Baker	Bob John	LTD Mother the
2.1.7 Street	2.1.8 Postcode	2.1.9 City
Mainstreet 1 Square Milk 10	1000 876125 4518	Bizzcity Parlin Osmo

4.3 Rules for the Creation of an Excel File to Import

 A valid request excel file respects the template. The template can be found on ALIB and CIRCABC but it is recommended to export one case because then you will be sure to have the latest and valid format. You can use that excel file as basis for your import file.

Each row contains one request. You can have one to many requests included in one excel file.

 To import a request, you must select from the drop-down-list in column G the type of request (see image 1). Depending on the status of a case and your rights, it can be:


- Create
- Update
- Close
- Cancel
- Reopen
- Amend

Please pay attention to the following:

- If you select 'Create' as REQUEST TYPE, the CASE ID must be left empty.
- If you select 'Update' or 'Reopen' as REQUEST TYPE, the CASE ID must be entered. If the given Case ID does not exist in IMS, the import is **not** allowed. You will get an error message.
- If you select 'Close' as REQUEST TYPE and enter a CASE ID, then you are closing an existing case. Make sure that you enter also a case closure date (field 1.17 and column AC).
- If you select 'Close' as REQUEST TYPE and make the field CASE ID empty, then you are creating a new closed case.
- If you are importing a request to **update, close or reopen** and there are pending request for the case, the request is not imported. First the pending request needs to be send to the Commission or to be cancelled before a new request for the same case can be drafted.
- If you are importing a request to **update, close or reopen** and ongoing requests exist for the case, the request is not imported. First the pending request needs to be send to the Commission or to be cancelled before a new request for the same case can be drafted.

4.3.1 Master-detail-fields

Some fields are so called master-detail-fields which implies that more than one value can be entered. An example is field 2 Personal data. If you want to indicate 3 persons, you need to indicate the data in the same order (see images 2 and 3).

 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 '|'.

If 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.

Have a look at image 2. In the table you will find the data that needs to be indicated related to Bob Hope, LTD Grass and John Baker. In image 3 you will find how it should be indicated in IMS. Information on the street is available for Bob Hope and John Baker but not for LTD Grass. This implies that in between the street names of Bob Hope and John Baker an empty space should be put in between the pipeline: Mainstreet 1 | | Square Milk 10

1

6.8.1 Category	6.8.2 Type	6.8.3 Type of irregularity
T40	T40/17	T40 - T40/17
T40	T40/17 * T40/18	T40 - T40/17 * T40/18
T19	T19/00 * T19/01	T19 - T19/00 * T19/01
T19 T40	T19/00 * T19/01 T40/17 * T40/18	T19 - T19/00 * T19/01 T40 - T40/17 * T40/18

4.3.2 Multi-value-fields

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

In the example (see image 1) you will find 4 rows. The first row contains a basic example. The type of irregularity concerns the category "public procurement" (T40) and type "modification of a tender during evaluation" (code T40/17). This needs to be processed in the excel file as follow:

Field 6.8.1 Category : T40
 Field 6.8.2 Type : T40/17
 Field 6.8.3 Type of irregularity : T40 - T40/17

The second row contains an example in which 2 types of irregularity concerning the same category are indicated. This needs to be indicated as follow:


Field 6.8.1 Category : T40
 Field 6.8.2 Type : T40/17 * T40/18
 Field 6.8.3 Type of irregularity : T40 - T40/17 * T40/18

The third row contains an example which is similar to the previous one: 2 types of irregularity concerning the same category are indicated:

Field 6.8.1 Category : T19
 Field 6.8.2 Type : T19/00 * T19/01
 Field 6.8.3 Type of irregularity : T19 - T19/01 * T19/01

The fourth row contains an example in which examples 2 and 3 are concatenated, thus 4 types of irregularity concerning 2 categories are indicated which implies that also the pipeline needs to be used:


Field 6.8.1 Category : T19 | T40
 Field 6.8.2 Type : T19/00 * T19/01 | T40/17 * T40/18
 Field 6.8.3 Type of irregularity : T19 - T19/01 * T19/01 | T40 - T40/17 * T40/18

 If you already have values in a master-detail-field and/or multi-value-field and you want to add a new one with the import, you are advised to put it at the end of the already existing data by first adding a pipeline (|) and then the new data.

Example:


The file already contains John | Jane and you want to add 'Jack'.
 You start with adding a pipeline and then Jack thus: John | Jane | Jack.

Of course, you can also add the new data at the beginning or in between existing data but that implies that you need to be very precise and consistent. For that reason, you are advised to add the new data at the end of the already existing data.

 All fields that are read-only on the request page are automatically filled 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. These columns are displayed in grey.

4.3.3 Tab page 8: amounts fields 8.1 and 8.2

The amounts of fields 8.1 'Amount of expenditure' and 8.2 'Amount of irregularity' are automatically entered by the system while creating a request. These amounts are based on information entered on tab pages 4 or 5 of the request.

 Nevertheless, you can enter amounts in the amount fields of tab page 8. IMS will import these amounts and will not perform a calculation on basis of the amounts indicated on tab pages 4 and 5. Even miscalculations and mismatches with the data on tab pages 4 or 5 will be imported.

1

4.1.5 Amount of irregularity		
EU-share	National-share	Public contribution
29.769,20 15.145,80	4.846,14 3.456,20	34.615,34 18.602,00
29.773,50	5.254,02	35.027,52
29.780,00 15.120,40	69.487,00 45.245,50	99.267,00 60365.90

2

8.2 Amount of irregularity		
EU-share	National-share	Public contribution
44,915.00	8,302.34	53,217.34
29,773.50	5,254.02	35,027.52
44,900.40	114,732.50	159,632.90

4.4 Specific Rules for the Format of Amounts in Excel

4.4.1 Number format: amount fields NOT part of master-detail lists

Cells corresponding to amounts fields which are NOT part of master-detail lists have a number format (see image 2).

In the exported excel files, amounts fields that are not part of master-detail lists should be presented in the format corresponding to the language set on your (the local user!) computer.

Example language set Italian:

the format of the amounts will take as thousand separator the dot (.) and as decimal separator the comma (,): €1.000.000,00

Example language set English:

the format of the amounts will take as thousand separator the comma (,) and as decimal separator the dot (.): €1,000,000.00

At import, only numbers will be allowed in the amounts fields that are not part of master-detail lists. The import will fail every time the format of the amounts does not respect the format.



You are recommended to enter amounts without using the thousand separator in case the format of the cells in excel is a number. Excel will do that on your behalf which decreases the risk of making errors enormously.

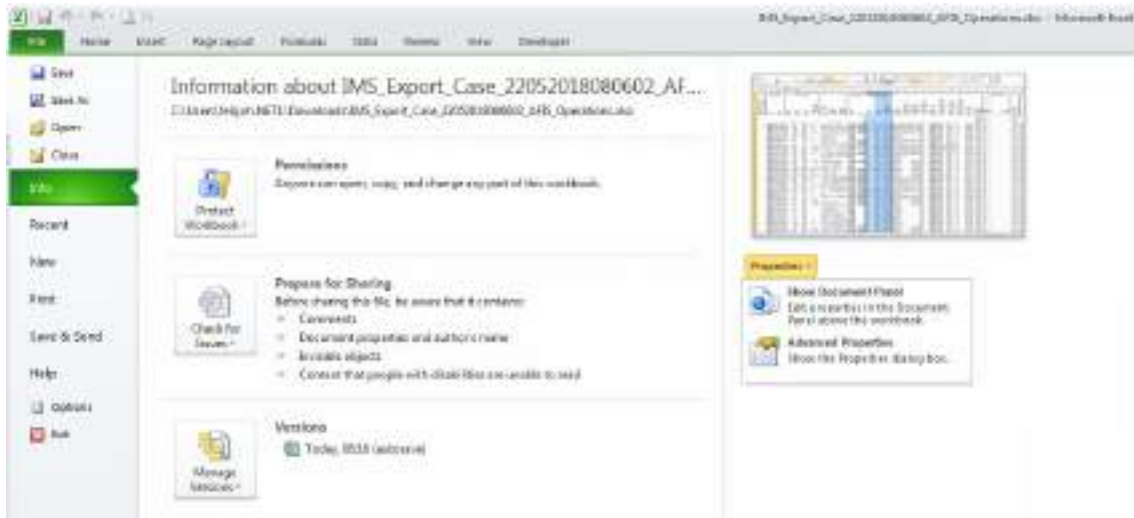
In the same way, the decimal separator should be used only when values (read: euro cents) need to be entered (thus NOT when the decimals are 00).

4.4.2 Text format: amount fields part of master-detail lists

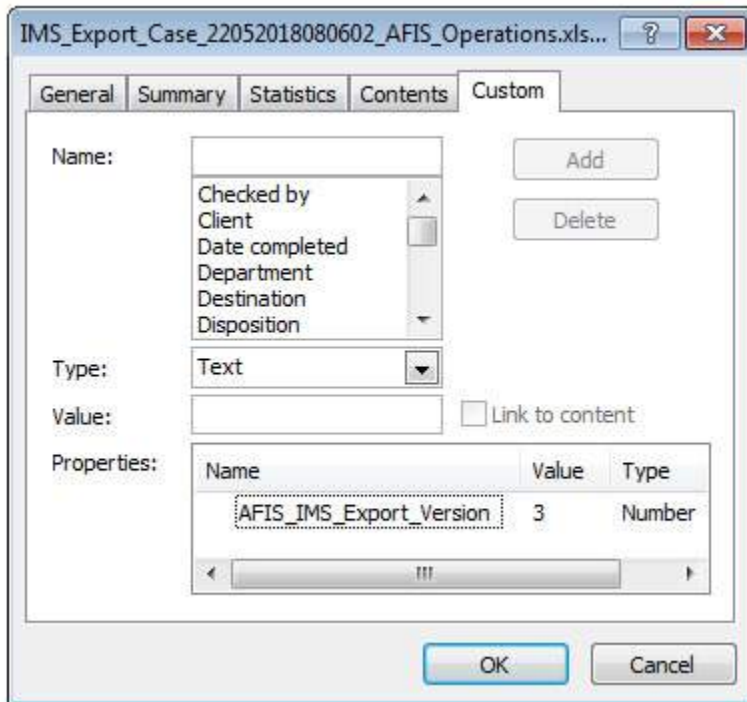


Cells corresponding to amounts fields which are part of a master-detail list have a text format (see image 1). This concerns the cells in which the values are separated by a pipe (|) such as for instance the amounts indicated on tab pages 4 and 5.

1



2



4.5 View the Version of the Excel Template to Import

You need to use the most recent version of the excel file to import the data. IMS will generate an error message when you use an old version. You can check the version of the template by exporting one case and to apply the following steps:

1. open the excel file
2. click on tab page **File**
3. click **Info**.
4. click **Properties**.
5. select from the drop-down-list **Advanced Properties**
6. click on tab page **Custom**
(see image 1)

In the 'Properties' table, the version of the template is shown. In the example, the value is 3 (see image 2).

5. Annex 1: excel file – column and field descriptions

COLUMN	DESCRIPTION	COLUMN	DESCRIPTION	COLUMN	DESCRIPTION
A	Reporting path	BR	4.1.1 Project - name	EI	7.7 OLAF number - Sequence
B	Registration date	BS	4.1.2 Project - number	EJ	7.8 Dismissed by OLAF
C	Date of last change	BT	4.1.3 Co-financing rate	EK	8.1 Expenditure - EU-share
D	Status	BU	4.1.4 Expenditure - EU-share	EL	8.1 Expenditure - National-share
E	Request type	BV	4.1.4 Expenditure - National-share	EM	8.1 Expenditure - Public contribution
F	Request ID	BW	4.1.4 Expenditure - Public contribution	EN	8.1 Expenditure - Private-share
G	Request type	BX	4.1.4 Expenditure - Private-share	EO	8.1 Expenditure - Total
H	Case ID	BY	4.1.4 Expenditure - Total	EP	8.2 Irregular amount - EU-share
I	Reference number - OLAF	BZ	4.1.5 Irregular amount - EU-share	EQ	8.2 Irregular amount - National-share
J	1.1 Fund	CA	4.1.5 Irregular amount - National-share	ER	8.2 Irregular amount - Public contribution
K	1.1. Country	CB	4.1.5 Irregular amount - Public contribution	ES	8.2.1 whereof not paid - EU-share
L	1.1. Initiating authority	CC	4.2 Total expenditure - EU-share	ET	8.2.1 whereof not paid - National-share
M	1.2 Year	CD	4.2 Total expenditure - National-share	EU	8.2.1 whereof not paid - Public contribution
N	1.1 Sequence number	CE	4.2 Total expenditure - Public contribution	EV	8.2.2 whereof paid - EU-share
O	1.3 Programming period	CF	4.2 Total expenditure - Private-share	EW	8.2.2 whereof paid - National-share
P	1.4 Reference number - national	CG	4.2 Total expenditure - Total	EX	8.2.2 whereof paid - Public contribution
Q	1.5 Initiating authority - complete name	CH	4.3 Total irregular amount - EU-share	EY	8.3 Amount to recover - EU-share
R	1.6 Request language	CI	4.3 Total irregular amount - National-share	EZ	8.3 Amount to recover - National-share
S	1.7 Currency	CJ	4.3 Total irregular amount - Public contribution	FA	8.3 Amount to recover - Public contribution
T	1.8 Exchange rate applied	CK	4.4 Control carried out before or after payment	FB	8.4 Decertified
U	1.9 National currency	CL	5.1.1 Budget year	FC	8.5 Comments
V	1.10 Drafting date	CM	5.1.2 Budget line	FD	9.1 Start date of procedure
W	1.11 Quarter	CN	5.1.3 Budget post	FE	9.2 Expected end date of procedure
X	1.12 New modus operandi	CO	5.1.4 Budget article	FF	9.3 Amount to recover - EU-share
Y	1.13 Necessity to inform other countries	CP	5.1.5 Budget measure	FG	9.3 Amount to recover - National-share
Z	1.14 Person found in other case(s)	CQ	5.1.6 Product	FH	9.3 Amount to recover - Public contribution
AA	1.15 Proceedings	CR	5.1.7. Expenditure - EU-share	FI	9.4 Amount deducted - EU-share
AB	1.16 Financial status	CS	5.1.7. Expenditure - National-share	FJ	9.4 Amount deducted - National-share
AC	1.17 Case closure date	CT	5.1.7. Expenditure - Public contribution	FK	9.4 Amount deducted - Public contribution
AD	1.18 Case irrecoverable	CU	5.1.7. Expenditure - Private-share	FL	9.5 Amount recovered - EU-share
AE	2.1.1 Legal status	CV	5.1.7. Expenditure - Total	FM	9.5 Amount recovered - National-share
AF	2.1.2 National ID number	CW	5.1.8. Irregular amount - EU-share	FN	9.5 Amount recovered - Public contribution
AG	2.1.3 Beneficiary ID number	CX	5.1.8. Irregular amount - National-share	FO	9.6 Balance to recover - EU-share
AH	2.1.4 Family name / Company name	CY	5.1.8. Irregular amount - Public contribution	FP	9.6 Balance to recover - National-share
AI	2.1.5 Trade name / First name	CZ	5.2 Total expenditure - EU-share	FQ	9.6 Balance to recover - Public contribution
AJ	2.1.6 Parent name / Independent prefix	DA	5.2 Total expenditure - National-share	FR	9.7 Amount repaid to the EU budget
AK	2.1.7 Street	DB	5.2 Total expenditure - Public contribution	FS	9.8 Amount retained by the country
AL	2.1.8 Postcode	DC	5.2 Total expenditure - Private-share	FT	9.9 Amount of interest charged
AM	2.1.9 City	DD	5.2 Total expenditure - Total	FU	9.10 Recovery procedures already launched
AN	2.1.10 Country	DE	5.3 Total irregular amount - EU-share	FV	9.11 Recovery measures already taken
AO	2.1.11 NUTS level 1	DF	5.3 Total irregular amount - National-share	FW	9.12 End date of procedure
AP	2.1.12 NUTS level 2	DG	5.3 Total irregular amount - Public contribution	FX	10.1 Procedures initiated to impose penalties
AQ	2.1.13 NUTS level 3	DH	5.4 Control carried out before or after payment	FY	10.2 Type of procedure
AR	2.1.14 Flagged On basis of Reg. 1469/1995	DI	6.1 Information leading to a suspicion of an irregularity - Date	FZ	10.3 Start date of procedure
AS	2.1.15 Flagged On basis of Reg. 2015/1929 (art. 108)	DJ	6.2 Information leading to a suspicion of an irregularity - Source	GA	10.4 Expected end date of procedure
AT	2.2 Justification for non disclosure	DK	6.3.1 Provisions EU - Type	GB	10.5 Status of procedure
AU	3.1 Objective	DL	6.3.2 Provisions EU - Number	GC	10.6.1 Sanctions - Category
AV	3.2 ARINCO number	DM	6.3.3 Provisions EU - Year	GD	10.6.2 Sanctions - Type
AW	3.3 EFRD/ESF/EAGGF/FIFG number	DN	6.3.4 Provisions EU - Article and paragraph	GE	10.6.3 Sanctions applied
AX	3.4 CCI number	DO	6.4 Provisions - national	GF	10.6.4 Fines applied
AY	3.4 CCI number - Year	DP	6.5 Member State(s)	GG	10.7 End date of procedure
AZ	3.4 CCI number - Country	DQ	6.6 Non-Member State(s)	GH	11.1 Comments - Initiating authority
BA	3.4 CCI number - DG	DR	6.7.1 Start date Irregularity	GI	11.2 Comments - OLAF
BB	3.4 CCI number - Objective	DS	6.7.2 End date irregularity	GJ	11.3 Attachments
BC	3.4 CCI number - Programme	DT	6.8.1 Type of irregularity - Category	GK	11.4 Attachments description
BD	3.4 CCI number - Sequence	DU	6.8.2 Type of irregularity - Type	GL	Cancellation reasons
BE	3.5 Objective - CCI	DV	6.8.3 Type of irregularity	GM	Rejection reasons
BF	3.6 Interregional	DW	6.9 Modus operandi	GN	12.1 Case closure date
BG	3.7 Programme	DX	6.10 Statement of persons involved	GO	12.2 ARES number for closure request
BH	3.8 Programme closure date	DY	6.11 Findings of the administration	GP	12.3 OLAF opinion
BI	3.9 EC decision - number	DZ	6.12 Classification of the irregularity	GQ	12.4 OLAF opinion date
BJ	3.10 EC decision - date	EA	7.1 Date of discovery (PACA)	GR	12.5 EC decision - number
BK	3.11 Priority	EB	7.2 Reason for performing a control (why)	GS	12.6 EC decision - date
BL	3.12 Theme	EC	7.3 Type and/or method of control (how)	GT	12.7 Decision in line with OLAF opinion
BM	3.13 Country	ED	7.4 Control carried out before or after payment	GU	12.8 Amount charged to EU-budget
BN	3.14 NUTS level 1	EE	7.5 Competent authority	GV	12.9 Amount charged to the country
BO	3.15 NUTS level 2	EF	7.6 OLAF investigation	GW	12.10 Attachments
BP	3.16 NUTS level 3	EG	7.7 OLAF number - Reference	GX	12.11 Attachments description
BQ	3.17 Competent authority	EH	7.7 OLAF number - Year		

6. Support Team Contact Information

Support related to the process of irregularity reporting can be obtained from:

1. Your IMS-country-officer and/or IMS-liaison-officer
2. OLAF's IMS-team
3. OLAF-AFIS-IT-Help-Desk

IMS-team	Address: Rue Joseph II, 30/B-1049 Brussels
	Internet e-mail: OLAF-FBM-IMS@ec.europa.eu
	AMS mailbox: EC-OLAF-IMS

OLAF-AFIS-IT-Help-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
	AMS mailbox: EC-OLAF-IT

Use and processing of IMS-information (article 5 of the delegated acts)

1. The Commission may use any information provided by Member States in accordance with this Regulation to perform risk analysis, using information technology support, and may, on the basis of the information obtained, produce reports and develop systems serving to identify risks more effectively.
2. Information provided under this Regulation shall be covered by professional confidentiality and protected in the same way as it would be protected by the national legislation of the Member State that provided it and by the provisions applicable to the Union's institutions. Member States and the Commission shall take all necessary precautions to ensure that the information remains confidential.
3. The information referred to in paragraph 2 may not, in particular, be disclosed to persons other than those in the Member States or within the Union's institutions whose duties require that they have access to it, unless the Member State providing it has given its express consent.
4. The information referred to in paragraph 2 may not be used for any purposes other than the protection of the Union's financial interests unless the authorities that have provided it have given their express consent.