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# User guide for applicants

One Stop Shop [ERA-DRO-010]

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# 1 Introduction

# 1.1 The One-Stop Shop (OSS)

The One-Stop Shop (OSS) is an information and communication system that supports the Applicants, the European Union Agency for Railways (ERA) and the National Safety Authorities (NSAs) in performing their tasks related to Single Safety Certifications (SSC), Vehicle Authorisations (VA) and ERTMS trackside approvals (TA), as defined in the 4th Railway Package (4RP) set of legislative texts.

Detailed information in regards to the VA processes can be found on the ERA website: <u>Vehicle</u> <u>Authorisations (VA)</u>.

Detailed information in regards to the SSC processes can be found on the ERA website: <u>Single Safety</u> <u>Certifications (SSC)</u>.

Detailed information in regards to the TA processes can be found on the ERA website: **<u>ERTMS</u>** trackside approvals (TA).

The OSS is accessible on this url: <u>https://oss.era.europa.eu</u>

It is recommended to use an updated Google Chrome or Mozilla Firefox web browser, as using others might result in poor performance or errors.

# 1.2 Purpose and scope of this document

This User Guide contains all essential information for Applicant users to make use of the OSS system functionality, as it includes a description of the detailed features and capabilities, and step-by-step procedures.

#### **1.3** How to request support

In order to request support for any item in the OSS, use the Support link found in the Sign in page of the OSS.

With this link you will be redirected to the 'Contact us' page of the Agency website where a number of FAQ guides can further assist you with your request. If no answer can be found then please create a Contact us form detailing your request and including the username, the application concerned and the action/task performed.

# 2 General functionality

# 2.1 Register as applicant

Any applicant must self-register in the system in order to become a user. In the Sign In page shown in Figure 1: Sign in, select the option "Create account as applicant".

EUROPEAN UNION AGENCY FOR RAILWAYS	One-Stop Sh	op (OSS)		Language	English	•
	Sign in	_	_			
	Email					
	Password					
		Sign in				
		Forgot password?	Create account as applicant			
		of the OSS, you need to have an updated Goo light result in poor performance or errors.	ogle Chrome or Mozilla Firefox bro	wser.		
Contact   Terms and Conditions	Privacy Statement			© European Union Age	ency for Railv	ways

Figure 1: Sign in

The system then displays the page "Create your One-Stop Shop account", as in Figure 2: Create your One-Stop Shop account.

EUROPEAN UNION AGENCY FOR RAILWAYS	One-Stop Sh	op (OSS)		Language	English •
	Create your One-Stop First name Last name	o Shop account			
	Email				
	Confirm email address				
		REGISTER			
		By clicking Register, you agree to our Terms and Conditions	Already registered? <u>Sign in</u>		
		s of the OSS, you need to have an updated Google night result in poor performance or errors.	Chrome or Mozilla Firefox bro	owser.	
Contact   Terms and Conditions	Privacy Statement			© European Union Age	ency for Railways

Figure 2: Create your One-Stop Shop account

The user must provide "First name", "Last name", "Email", "Confirm email address" and click on the "Register" button.

<u>IMPORTANT!</u> The user is invited to read the Terms and Conditions before proceeding with the next steps. The user shall not proceed with the next steps if he/she does not agree with the Terms and Conditions and he/she shall contact the Agency. The Terms and Conditions details the contractual relationship between the Agency and the user of the system.

A message informs the user that the information entered is saved and an email is sent to the provided email address with instructions on how to set a password for the account, as shown in Figure 3: Message after successful registration. The user can then close the page.

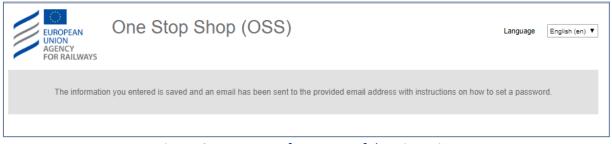


Figure 3: Message after successful registration

When the user receives the email, as illustrated in Figure 4: Registration email, the user has to follow the provided link to set the password, shown in Figure 5: Setting a password.

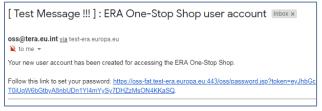


Figure 4: Registration email

Such link is valid for 24 hours, after which the user should use the "Forgot password" option in order to set the password.

Password rules		
Email		
Password		
Confirm password		
	Store Password	
	"By clicking Register, you agree to our" Terms and Conditions	Already registered? Sign in

Figure 5: Setting a password

The user must provide "Email", "Password", "Confirm password" and click on the "Store password" button.

In order to set a correct password the user must follow the password rules:

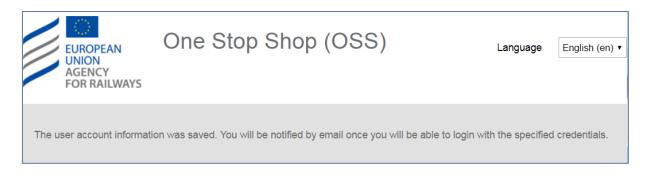
- Passwords should not contain either your First name or your Last name;
- The password must be at least 12 characters long;
- The password should contain at minimum 3 out of :
  - 1 uppercase
  - o 1 lowercase
  - 1 digit (0 to 9)
  - o 1 special character (~!@#\$%^&\*\_-+=`|\(){}[]:;"',.?/)

If the user did not follow the above rules or if passwords do not match then the system displays the appropriate error message as shown in Figure 6: Error message for the password rules.

EUROPEAN UNION AGENCY FOR RAILWAYS	One-Stop S The 1 up 1 lor 1 dig	era.europa.eu says password must be at least 12 characters long. password should contain at minimum 3 out of: upercase wercase git (0 to 9) ecial character (~!@#\$%^&"+=`\\0\][;"',.?/)	Language English 🗸
	Password rules		
	Email	spiliosv@gmail.com	
	Password		
	Confirm password		
		Store password	
		ns of the OSS, you need to have an updated Google Chrome or Mozilla Firefox s might result in poor performance or errors.	: browser.
Support   Terms of use   Privacy	<u>Statement</u>		© European Union Agency for Railways

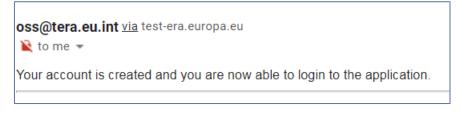
Figure 6: Error message for the password rules

After successful completion of the above step the user is informed by the system, as displayed in Figure 7: Successful setting of a password. The user can close the page.



# Figure 7: Successful setting of a password

The user will receive in addition an acknowledgement of the account creation by email, within a maximum period of 15 minutes, in order to be able to sign in as shown in Figure 8: Acknowledgment of user creation.



#### Figure 8: Acknowledgment of user creation

When the user tries to set a password the following error codes may be displayed, in which case the user is asked to communicate with the OSS Service Desk following the Contact link of the Sign in page and include the relevant error code in.

- UM001 The user account could not be created in Active Directory
- UM002 The user is already verified.
- UM003 The provided email does not match the token.
- UM005 The token does not correspond to the specified user.
- UM006 The token does not exist or it is invalid.
- UM007 Error when executing an SRM action.
- UM008 Blacklisted email domain.

#### 2.2 Sign in

Only registered users are able to sign into the system (refer to section 2.1). In the landing page of the OSS shown in Figure 9: Sign in, insert "Email" and "Password" and click on the "Sign in" button.

EUROPEAN UNION AGENCY FOR RAILWAYS	One Stop Sh	op (OSS)			Langua	e English (en) •
	Sign in Email	era oss all@gmail.com	-			
	Password					
			Sign in			
		Forgot password?		Create account		
Contact   Terms and Conditions	s   Privacy Statement				© European Union	Agency for Railways

Figure 9: Sign in

The user may select an alternative language for the User Interface (UI) than the English (default), by choosing one of the available languages as are found in the "Language" drop down list.

#### 2.3 Forgot password

All users can request password reset in case that the password has been forgotten or for any other security reason. From the "Sign in" page select "Forgot password?". The system displays Figure 10: Reset your password "Reset your password" and allows the user to enter the registered email in the fields "Email" and "Confirm your email".

Reset your password	I			
Email				
Confirm your email				
		Reset pass	sword	
	<u>Sign in</u>			Create account

#### Figure 10: Reset your password

By selecting "Reset password", the system displays the message shown in Figure 11: Password change notification and at the same time send an email to the user, with instructions on how to reset the password, as shown in Figure 12: Password change email. The user can then close the page.



Figure 11: Password change notification

[Test Message !!!]: Password reset Inbox ×			•
<b>oss@tera.eu.int</b> <u>via</u> test-era.europa.eu ¥ to me ≠	11:09 (21 minutes ago)	☆	*
You have requested the reset of your password for accessing the ERA One-Stop Shop. Follow this link to set a europa eu:443/oss/password.jsp?token=eyJhbGciOJJU211NiJ9.eyJzdWIiOiJzcGIsaW9zdkBnbWEpbC5jb20iLC .Wek3pNrySUsBSRqY-XSKN1:5Awyeas_0Pp1eWAtkBVE&reset=1.			<u>-era.</u>

Figure 12: Password change email

The rest of the steps are similar to those followed for the initial registration of the user. Following the link in the email, the user will set the password and the system will send the password updated notification as shown in Figure 13: Password change confirmation, concluding the "forgot password" process.

oss@tera.eu.int <u>via</u> test-era.europa.eu ≩ to me ▼	
Your credentials are updated and you are now able to login to the application.	

Figure 13: Password change confirmation

#### 2.4 User profile

Additional navigation and functions are offered through the menu at the top right corner as shown in Figure 14: Menus and user actions.

EUROPEAN UNION AGENCY FOR RAILW	one etop enop	O(OSS)			✓ Spilios Vergopoulos ▲
	Single Safety Certificates	Vehicle Authorisations	ERTMS Trackside Approvals	My Work	🛔 User Profile
					♣ Change Password
+ New					► Language settings ►
					C+ Logout
Showing 1 - (	0 of 0 applications				
^	APPLICANT APP	LICATION APPLICATIO TYPE	N PHASE SUB!	MISSION STATUS	MODIFIED -
10 <b>v</b> ap	plications per page				< page 1 of 1 >

Figure 14: Menus and user actions

- User profile option allows for navigation to the user profile page (Update user profile information).
- Change password option allows for the password to be reset (Change password).
- Language settings allow for the selection of your preferred language.
- Log out allows disconnection from the system. Upon successful logout the system displays the "Sign in" page, as shown in Figure 9: Sign in.

#### 2.4.1 Update user profile information

Update user profile functionality, allows a user to update or insert new information to their user account, as shown in Figure 15: Update Profile.

User Profile				
User Information				
First name*	Spilios	Last name*	Gmail	
Title or function				
Address				
Street address*	Nice street			
City*	Some city	Postal code*	123456	
Country*	Åland Islands -			
Phone*	123456789	Fax		
Email*	spiliosv@gmail.com	Language(s) spoken	English × French × •	
Notifications	OSS and email			
		Order of tabs	SSC VA ERTMS.TP	t b
Save Cancel				

Figure 15: Update Profile

The user may insert and/or update any information in the form and click on the "Save" button. All fields marked with a red asterisk are mandatory and have to be filled by the user in order for the information to be saved.

It is recommended that users, after their first sign in, view and update their user profile, in order to ensure the correct information is depicted and make selection for languages spoken and selecting the way notifications are sent. In addition the user may select the order, "Order of tabs" in which the domains will appear and hence setting the default domain when signing in the OSS.

#### 2.4.2 Change password

In a similar manner the user may change the password, whilst signed in by selecting "Change password" in the user actions menu as shown in Figure 14: Menus and user actions. The system then displays Figure 16: Change Password, asking the user to provide a new password and confirm it. By selecting "Reset" a confirmation message is displayed informing of the change of password as shown in Figure 17: Change Password notification, and a notification is sent to the email account of the user, similar to what is shown in Figure 8: Acknowledgment of user creation.

📽 Reset your pa	ssword
Reset your	password
Password	rules
New	
password:*	
Confirm new	
password:*	
Reset	

Figure 16: Change Password

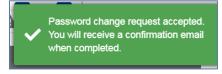


Figure 17: Change Password notification

# 2.4.3 Language selection

Figure 18: Language selection shows how to select a language.

ſ	Estonian	🔎 Language settings 👻
	Finnish	
	French	C Logout
м	German	MODIFIED 🔻
	Greek	
DE	Hungarian	04/06/2019
ł	Irish	
)e	Italian	04/06/2019

Figure 18: Language selection

#### 2.5 Quick access icons

The items below are accessible both by selecting the quick access icons below, and by selecting the menu option "My Work" (See section *My work*).

#### 2.5.1 Issues

Issues as shown in Figure 19: Issues button, allow the user to see the list of issues across the applications.



#### 2.5.2 Notifications

Notifications as shown in Figure 20: Notifications button, allow the user to view all the notifications across applications.



#### 2.6 Main applications page

On successful sign in, the system displays the applications list for the default domain, as shown in Figure 21: Main page – List of applications.

		Vehicle Authorisations	ERTMS Trackside Approvals	My Work				
							Filter by	140.000
New						1	Filter by	Colum
	) applications					Ţ	Filter by	Colum

*Figure 21: Main page – List of applications* 

The system displays applications in the form of a list, for which there are features for paging (go to next or previous page, display x items per list), as shown in Figure 22: Paging and selection of columns to display and filtering/sorting, as shown in Figure 23: Filtering and Column selection. Selections made by the user are kept by the system and used for all subsequent views of the List of applications until the user amends them again.

Showing 1 - 0 of 0 a	APPLICANT	APPLICATION	APPLICATION TYPE	PHASE	SUBMISSION	STATUS	MODIFIED
			Figure	22: Paging			
			<b>T</b> Filter by	Col	umns		

Figure 23: Filtering and Column selection

# 2.6.1 Column selection

The user may select or unselect any of the available columns and press "OK" in order for the selected columns to be displayed in the List of applications. Possible choices include the following, while some could be missing depending of the domain (i.e. VA, SSC, TA):

- "Applicant": Column showing the Applicant's Legal denomination;
- "Application": Column showing the Application ID;
- "Application type": Column showing the Authorisation Case or the Single Safety Certification type;
- "Phase": Column showing that the application is for Vehicle Authorisation-Notification of change or for Single Safety Certificate or for Pre-engagement;
- "Project name": Column showing the application's project name;

- "Other relevant information": Column showing the application's Other relevant information as introduced by the applicant;
- "Submission": Column showing the submission date of the application;
- "Decision": Column showing the decision date of the application;
- "Status": Column showing the status of the application;
- "Area": Column showing the Area of use/operation;
- "Modified": Column showing the date of the last update of the application.

#### 2.6.1.1 Vehicle Authorisations

Available columns for selection in Vehicle Authorisations are shown in Figure 24: VA Application List columns and as described in section Column selection.



Figure 24: VA Application List columns

#### 2.6.1.2 Single Safety Certificates

Available columns for selection in Single Safety Certificates are shown in Figure 25: SSC Application List columns and as described in section Column selection.

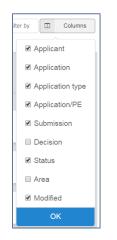


Figure 25: SSC Application List columns

#### 2.6.1.3 ERTMS Trackside Approvals

Available columns for selection in Vehicle Authorisations are shown in Figure 26: TA Application List Columns.



Figure 26: TA Application List Columns

# 2.6.2 Filtering selection

The user may select or unselect any of the available filtering options and a combination of them and press "OK" so that the applications displayed in the List of applications are filtered according to the criteria introduced. By selecting "Clear filter" all related filtering choices are removed and all user related applications are displayed as a list. Possible choices include the following, while some could be missing depending of the domain (i.e. VA, SSC, TA):

- "Application type": Filtering according to Authorisation Cases or Single Safety Certification types;
- "Status": Filtering according to the status of an application;
- "Area": Filtering according to the Area of use/operation;
- "Phase": Filtering according to the application being for Vehicle Authorisation-Notification of change or for Single Safety Certificate or for Pre-engagement;
- "Submission Date", "Decision Date" and "Modified Date": Filtering according to a From date until a To date of submission/decision/modification of an application;
- "Application": Filtering according to an Application ID;
- "Applicant": Filtering according to Applicant's Legal denomination.

# 2.6.2.1 Vehicle Authorisations

Filtering options available in Vehicle Authorisations are shown in Figure 27 Vehicle Authorisations Filtering options.

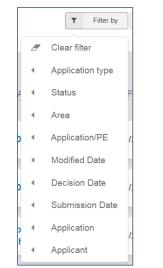


Figure 27 Vehicle Authorisations Filtering options

# 2.6.2.2 Single Safety Certificates

Filtering options available in Single Safety Certificates are as described for the Vehicle Authorisations.

#### 2.6.2.3 ERTMS Trackside Approvals

Filtering options available in TA are shown in Figure 28 TA Filtering options.

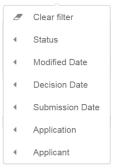


Figure 28 TA Filtering options

#### 2.7 Application list item

For each application displayed in the applications list, the system displays a summary information similarly to what is shown in *Figure 29: Applications list item.* By selecting any of the text in blue, the system displays more information in regards to the Applicant's details, or a quick view of the dashboard (stages/milestones) of the application.

SV IT SSC 5-20190604- 008	New single safety certificate	Application	04/06/2019	Submitted	04/06/2019	:
------------------------------	-------------------------------------	-------------	------------	-----------	------------	---

Figure 29: Applications list item

# 2.7.1 Applicant's details

By clicking on the "Applicant" or the "Application" column then the summary information for the Applicant's details are displayed, as shown in Figure 30: Applicant's details.

	SV IT SSC	S- 20190604- 008	New single safety certificate	Applica	04/06/2019	Submitted	04/06/2019
VIEW	Company r Acronym	name	SV IT SS	SC	Address Telephone	cxvbdfb xcl dfgdfg	ox , Argentina
	Country		Argentin	а	Fax		
	Website				Email	<u>tst@tst.con</u>	2

Figure 30: Applicant's details

# 2.7.2 Status

By clicking on the "Status" column then the summary information for the stages of the application are displayed, as shown in Figure 31: Status.

	SV IT SSC	S- 20190604- 008	New single safety certificate	Applica	04/06/2019		Submitted		04/06/2019	
VIEW	Application	progress and	dates							
	Sta	Status			Planned of	late	Actual date			
	Sta	art of the assess	ment		06/06/2019			-		
	Co	Completeness acknowledgement			18/07/2019					
	De	Decision			16/01/2020 -					
	De	cision			16/01/20	20		-		

Figure 31: Status

# 2.8 Applications list item context menu

In addition to the above options per applications list item, there is also a context menu as shown in Figure 32: Context menu options, offering options to share an application with another applicant user, create a copy of the application as draft, or select to view any of the sections of the application.

Submitted	Share application Create
Issues Notifications	<ul> <li>View</li> <li>04/06/2019</li> </ul>
Project team Dashboard	04/06/2019
Decision	

Figure 32: Context menu options

# 2.8.1 Share application

Applicants can share an application with other applicant users. Such action allows the sharing of the application and of the relevant tasks and actions related to this application. Select option "Share application", as shown in Figure 32: Context menu options, introduce the email of an already registered OSS applicant user, as shown in Figure 33: Share application – Applicant's details, and finally select "Share". A notification will be sent to the new user informing him/her of the sharing of the specific application.

Share applicat	tion with applicant		
Applicant's e-mail	someone@example.com		
		Share	Cancel

Figure 33: Share application – Applicant's details

The system informs the user that the application shared successfully as shown in Figure 34: Confirmation message for share application.

Share applicat	ion S-20190328-002 with applicant	
Success Application share	ed successfully	
Applicant's e-mail	test.era.applicant@gmail.com	
		Close

Figure 34: Confirmation message for share application

The system also informs the user that the application has not been shared in cases that the introduced email is not of a registered user, as shown in Figure 35: Share application error.

Share applicat	ion E-20190704-001 with applicant		
Error Email does not b	elong to a known user.		
Applicant's e-mail	tst@tst.com		
		Share	Cancel

Figure 35: Share application error

# 2.8.2 Create

The system allows the creation of draft application based on already created application. When selecting this option OSS creates a draft application based on the contents of the chosen application and allows the user to update information starting from step 1 of the wizard.

# 2.8.3 View

By selecting any of the available options the user accesses directly the related page of the specific application.

# 2.9 Application Details Screen

When an applicant signs in, the system displays the relevant applications list. If the applicant selects to "View" an application as shown in Figure 36: Details of an application, the system displays the below screen:

EUROPEAN LINON AGENCY FOR RAILWAYS	One-Stop Shop (	OSS) TEST			<b>6</b> 3 <b>1</b> 79	✓ era applicant 2 test
	Single Safety Certificates	Vehicle Authorisations	ERTMS Trackside Ap	oprovals My Work		
				Created by: era applicant 2	2 test   Modified on: 08/04/2019 05:00 AM   Contact	og Actions
Application		Project team	Dashboard	Library	Event Log	

Figure 36: Details of an application

In this section the upper part displays summary information about the application, like the Applicant's legal denomination, the application type, the date the application was submitted, the user that created and submitted the application, the issuing authority and the current status of the application. In addition there are the below tabs (the extract shown is following the VA paradigm, but the same applies for SSC and TA):

# 2.9.1 Application

The applicant can view the application in read only mode as shown in Figure 37: "Application" tab in read only mode by the applicant.

· Application description					
Applicant's information Conta	act person's information Authorisation case				
Legal denomination:	legal_aitisi_45		Postal Code:	CODE	
Applicant's name:	TEST		Country:	Armenia	
Appreants name.	IESI		Country:	лителка	
Acronym			Phone:	phone	
VAT number:	test		Email:	test.era.applicant@gmail.com	
Street address:	STREET		Fax		
City:	tost		Website		
			Other relevant Information		
<ul> <li>Conformity assessment bodies</li> </ul>					
Notified Body(ies) Designated E	Body(ies) Assessment Body(ies) (CSM RA)				
	*				
* Authorisation details					
Authorisation type(s) and variant(s)	Issuing authority				
Is the applicant the current	No				
vehicle type holder?					
	*				
▼ Documentation					Show document descriptions
Description of the changes           PDF test.pdf	(13)				
	uirements capture and the applied methodology (18.1, 18.7 and 18.8)				
Decision(s) of non-application					
	tion for the mobile subsystems, including accompanying technical files (18	1.5)			
	lication and the decision from the previous authorisation (18.6)				
Evidence of the technical co	ompatibility of the vehicle with the network (18.9)				
Risk declaration covering the second seco					
Safety assessment report o	overing modification of the overall safety level (18.11)				
🛇 🛛 🖕 Risk declaration covering th	he modification (18.12)				
Salar Sector Contraction Sector Contraction Contractico Contractico Contractico Contractic	ATV (18.13)				
Salar Maintenance & operation de	ocumentation (18.14)				
🗢 🔚 Other					
* Mapping tables					
AE's Mapping Table(s)					
	t declare an authorisation case in step 1 (authorisation description), and d	leclare the area of use for at least one type/	variant in step 3 (authorisation details).		

Figure 37: "Application" tab in read only mode by the applicant

#### 2.9.2 Application issues

In this page, the applicant can view a list of all application issues created for the specific application. For details in creating and managing application issues, see section Communication between applicant and assessment team – Management of issues.

# 2.9.3 Project team

In this page the applicant can view the project team members of an application, including the related Programme Managers of ERA and the Member States involved as shown in Figure 38:" Project team" tab in read only mode by the applicant. The specific application roles are Project Manager, Assessor, Assuror, Decision Maker, and Observer.

S-20190408-002 Applicant, chara, testdokimastik	r   Submitted on . 08/04/2019 02/13 PM   Created by, via applicant 2 test   Modified on. 08/04/2019 02/10 PM   Application status, Submitted	4 <sup>0</sup> / <sub>6</sub> Actions
Application	Assus Project Kam Dashboard	
Programme Manager		
Programme Manager(3)	Katarina Andraadou      FRA Agancy      F	
Project Manager		
Project Manager(s)	📥 era pm test	
Agency Assessor(s)		
Agency Assessor(s)	🛦 cre_ss test	
NSA Programme Mana	iger(s)	
N&A Programmo Manager(©):	Greece El l'gm & gi_ggm test & NSA-EL Authonity & Sphios Vergopoulos & NSA l'gM LK & new meu user test & ethodos boulou & Tebraury teb2019	
NNA Annenentt(n)	Cinese	
Assurer(a)	A structure	
Decision Maker		
Decision Maker(s)	▲ moder2hot	
Appleant		
A era applicant 2 test		
A test_observer test		
Other Contacts		

Figure 38:" Project team" tab in read only mode by the applicant

# 2.9.4 Dashboard

The Dashboard is the section where the important dates (milestones) of each project/application, as well as the application status is shown. The application status is calculated automatically or changed by the Project Manager. Each milestone is usually defined by a planned and an actual date. The applicant only see as milestones the "Start of the assessment", "Completeness Acknowledgement" and ""Decision" ("Start of submission and verification of completeness", "End of submission and verification of completeness" and "End of assessment and decision" in the TA domain ), as shown in Figure 39: Dashboard screen.

One-Stop Shop (OSS) TEST					A <sup>63</sup> A <sup>179</sup>	🗸 era applicant 2 test 🛔
Single Safety Certificates Vehicle Authorisation	IS ERTMS Trackside Approvals	My Work				
V-20190405-002 Applicant: legal, altisi, 45   Application type: New single safety certificate   Submitte Completeness check	d on : 05/04/2019 03:47 PM   Created by: era ap	plicant 2 test   Modified on: 08/04/201	9 05:00 AM   Contact person: era appl	icant 2 test   Issuing authority: Agency   Application statu	5:	0° Actions
Application Lisues	Project team	Dashboard	Library	Event Log		
+ Creato Milestone						
SUBMISSION DATE	Start of the assessment		Planned da	te Actual date		
05/04/2019			09/04/2019	08/04/2019		
CURRENT STATUS	Completeness acknowledgement		Planned da			
completenessCheck			27/05/2019			
	Decision		Planned da	te Actual date		
DECISION (ESTIMATE)			18/11/2019			
18/11/2019						
Agreed timeframe to provide information Extended ti start week taking the		Justification		Comment		
and Mook .						

Figure 39: Dashboard screen

#### 2.9.5 Library

The library is the repository where all application information is stored. The library information and functionality can be accessed according to the user's access rights, similarly to what is shown in Figure 40: Library. The relevant functionality includes:

- Browse application information through a tree-like structure of folders, and links to view/download documents.
- Upload documents.
- Update / append a new version to an existing document (same principles as above apply).
- View past versions of documents.
- Delete documents (when application status = draft).
- Export application.
- Switch between viewing the latest version of the library/documents and the initially submitted one (actually the submitted application file).

	TMS Trackside Approvals My We ype   Submitted on : 18/06/2019 62:08 PM   Cl Dochboard		106/2019 08:52 PM   Contact person: Spillos Event Log	Gmail   Issuing	0¢ Actions
Application status: Completed	<b>_</b>		:	Gmail   Issuing	oţ Actions
	Dashboard		=		
		· · · · · · · · · · · · · · · · · · ·	Event Log		
lication				Show do	cument descriptions
	Created by	Created on	Last modified		
				V1.0	
					•
		Created by	Created by Created on	Created by Created on Last modified	v via

#### Figure 40: Library

The relevant user can upload files by clicking on the + button in the relevant folder as shown in Figure 40: Library. After the uploading, the user can see the details of the file, as shown in Figure 41: "Show document descriptions" radio button, by clicking on the "Show documents description" radio button or can download a file by using the "Download document" button as shown in Figure 42: "Download" button.

on : 14/08/2	V VA New+Ext 1.00.4.1 2019 12:24 PM   Created	I <b>14/8 BE-FR upload rep</b> I by: <b>Spilios Gmail</b>   Modi <b>/ for Railways</b>   Applicatio	fied on: 15/08/2019 05:00	AM   Contact person:				0° Actions
Application	n Issues	Project team	Dashboard	Library	Event Log			
~	Current version	Export application				SI	now docun	nent descriptions
Tit	le		Created by	Created on	Last modifie	d		
🛛 🗢 🖻	Application File						4.0	
						~	v1.0	
•	Application Form					× ×	v1.0	
0	• • • •	n.pdf	Spilios Gmail	14/08/2019	14/08/2019			*
٢	Application Form		Spilios Gmail	14/08/2019	14/08/2019			÷
0	Application Form		Spilios Gmail	14/08/2019	14/08/2019			÷
0	Application Form		Spilios Gmail	14/08/2019	14/08/2019	~	v1.0	¥
	Application Form Application form Application form Documentation		Spilios Gmail	14/08/2019	14/08/2019	*	v1.0 v1.0	÷

Figure 41: "Show document descriptions" radio button



Figure 42: "Download" button

The applicant can select the version of the uploaded document, shown in Figure 43: "Select version" button.



Figure 43: "Select version" button

The applicant can also select the files he/she can see on the Library screen. If the user selects the option "Initial application version", he/she can view only the uploaded files until the submission of the application.

If the user selects the option "Current version", he can view all the uploaded files that have been added to this current version from the time of submission and after.



Figure 44: "Current version" button

If the user selects the "Export application" button as shown in Figure 45: "Export application" button, the system downloads all uploaded files of the application in a zip folder.



Figure 45: "Export application" button

# 2.9.6 Event log

The event log is a detailed list of a user actions during the lifecycle of an application. The events log exists only after application submission and filtered according to the access rights of the user, as shown in Figure 46: Main screen of event log.

The following events are captured in the log:

- Change of application status
- User actions(tasks/actions)
- Creation/update/closure of issues
- Upload/update of documents/reports (after application submission)
- Assignment/update of the Project team
- Update application file

Each record in the log contains the following information:

- Timestamp
- User
- User Role
- Action/event
- Details

EUROPEAN VACENCY FOR RAJUMRYS	One-Stop Shop (OS	S) TEST					A <sup>63</sup> 4	v era applicant 2 test
	Single Safety Certificates	Vehicle Authorisations	ERTMS Trackside Approvals	My Work				
V-20190405-0 Applicant: legal_a Completeness cl	itisi_45   Application type: New single	e safety certificate   Submitted on :	05/04/2019 03:47 PM   Created by: era	applicant 2 test   Modified on: 08/04/20	19 05:00 AM   Conta	ct person: era applicant 2 test   Issuing autho	rity: Agency   Application status:	0, Actors
Applica		sues	Project team	Dashboard	Library	Event Log		
	TIMESTAMP	USER	]	USER ROLES		ACTION/EVENT	DETAILS	
	08/04/2019 05:00 AM					Application status changed	Application Status: Completeness Chec	*
	05/04/2019 03:48 PM	era applicar	it 2 test			Document uploaded	Acknowledgment of Receipt.pdf	



# 2.10 Applicant "Actions"

Apart from the submission of an application, there are no other tasks related to the applicant during the assessment of an application file. However an applicant may request termination of an assessment of an application or request the review of an opinion after a decision.

# 2.10.1 Terminate application

After an application has been submitted the applicant can request its termination. So, if the applicant wants to terminate an application, he/she can select from the "Actions" button from the application details screen, the option "Terminate application" as shown in Figure 47: Actions button-Terminate application.



Figure 47: Actions button- Terminate application

# 2.10.2 Request Review

If the applicant receives a notification for the submission of the Decision/Opinion, he/she can select from the "Actions" button the option "Request review" as shown in Figure 48: Actions button-Request Review.



Figure 48: Actions button- Request Review

# 3 My work

Once logged in, the user can navigate to "My work" section in order to view Issues and Notifications as shown in Figure 49: "My Work" screen.



Figure 49: "My Work" screen

# 3.1 Notifications

The OSS sends notifications to its users according to specific events and business rules. Notifications can be both in-app and via email. The user can view all the notifications of concern by clicking on the "Notifications" button. Then the system displays all notifications for changes that have been made, for example, the submission, the creation of a new issue, the update of an application etc. All users can configure if they are receiving notifications also by email through user profile menu (in-app notifications are sent by default). If the user wants to see the details of a notification, he/she selects "View" and the system displays the below pop up window:

A new application with reference number V-20190405-002 for New authorisation, has been submitted on behalf of legal_aitisi_45.			
A new application with reference number <u>V-20190405-002</u> for New behalf of legal_aitisi_45. <u>Acknowledgment of Receipt</u>	authorisation, has been submitted on		
Creation Date: 05/04/2019			
	Mark as read 🗸 Close		

Figure 50: Details of a notification

If the user selects "Mark as read" the notification is grey out. The unread notifications count number (Figure 20: Notifications button) is updated when a notification is marked as read. Also, the user can close the pop-up window that the system displays, if he/she clicks on "Close" button. All lists allow for filtering and sorting (Figure 23: Filtering and Column selection).

#### 3.2 Issues

Issues are created in order to support the communication between the assessment team and the applicant and vice versa. "Issues" tab allows the applicant to view the list of issues across the applications. If the applicant selects "View", then he/she can view/update/submit the issue. All lists allow for filtering and sorting (Figure 23: Filtering and Column selection). Issues can be viewed by clicking on "Issues" button as shown in Figure 19: Issues button.

# 4 Create/Submit an application

In this version of the OSS the following applications are supported: Vehicle Authorisation (VA) Cases (Vehicle Authorisations (VA))

- Vehicle Authorisations
- Pre-engagement Requests

Single Safety Certificate (SSC) (Single Safety Certificate (SSC))

- Single Safety Certificate
- Pre engagement

Trackside Approval projects (TA) (Trackside Approval projects (TA))

Request for ERTMS trackside approval

Please refer to the section The One-Stop Shop (OSS) for more details on the above business domains.

#### 4.1 Vehicle Authorisations (VA)

#### 4.1.1 Vehicle Authorisations (VA)

# 4.1.1.1 Create a new application

This section explains how an applicant user of the system can create and prepare a VA application file.

The available vehicle authorisations cases are:

First Authorisation

- New Authorisation
- Extended area of use authorisation
- Renewed vehicle type authorisation
- Authorisation in conformity to type
- First Authorisation and Authorisation in conformity to type
- New Authorisation and Extended area of use authorisation

For detailed description on the above cases, it is recommended that the reader refers to the relevant Regulation and Directives of the EU and the Practical Arrangements as describe in the agency's website: <u>Vehicle Authorisations (VA)</u>.

Only applicant users can create applications. In the "Main page - Applications list", select "New" and then "Apply for a vehicle authorisation" as shown in Figure 51: Create Vehicle Authorisation application.

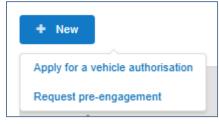


Figure 51: Create Vehicle Authorisation application

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 52: Progress bar of a Vehicle Authorisation. By selecting "Hide progress bar" the wizard is hidden.

APPLICATION DESCRIPTION Provide information about the applicant, the authorisation case and the	CONFORMITY ASSESSMENT BODIES Provide information about the Nobo(s), Debo(s) and Asbo(s)	AUTHORISATION DETAILS Provide the characteristics of the authorisation you apply for	DOCUMENTATION Provide the evidence supporting your application	MAPPING TABLES Provide the mapping table(s)	SUBMIT APPLICATION
---	---	--	--	---	--------------------

Figure 52: Progress bar of a Vehicle Authorisation

The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (\*) in their label as shown in Figure 53: Mandatory fields.

Legal denomination: *	
Figure 53	: Mandatory fields

In addition for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 54: Tooltip information.

Legal denomination: *	
Legal denomination of the A entity, as registered	

Figure 54: Tooltip information

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 55: Alerts and fields in error.

Postal Code: 🛕 🔹	

Figure 55: Alerts and fields in error

When a user will select to "Validate" the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 56: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

Application errors found	
Please check the following errors; navigate to their respective Steps to verify and re-submit your application	
Language     Address     e Email	

#### Figure 56: Error message validating the submission of an application

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 57: Applications list with a draft application, by clicking the "View" button.

Showing 1 - 10 of	81 applications					
^	APPLICANT	APPLICATION - APPLICATION TYPE	APPLICATION/PE	SUBMISSION	STATUS	MODIFIED
VIEW	test va for um	new	Application		Draft	22/01/2019

Figure 57: Applications list with a draft application

The Applicant follows the below steps to create an application:

- Application Description
- Conformity Assessment Bodies
- Authorisation Details
- Documentation
- Mapping Tables
- and finally, Submit Application

The information contained in all the above forms stems from the Annexes of the Practical Arrangements found in the <u>Commission Implementing Regulation (EU) 2018/545 of 4 April 2018</u> establishing practical arrangements for the railway vehicle authorisation and railway vehicle type <u>authorisation process</u>.

#### 4.1.1.2 Application description

In this first step of the wizard as shown in Figure 58: Application Description, the Applicant must fill in information in regards to Applicant's information, Contact person's information and details on the Authorisation case.

Application description				
Applicant's information				
Legal denomination	SV VA Thierry	Phone *	lorem ipsum dolor sit amet consectetur adipiscing	
Applicant's name	lorem ipsum dolor sit amet consectetur adipiscing elit volutpat accumsanlorem ipsu	Emsil •	Ist@Ist.com	
Acronym	forem ipsum dolor sit amet conse	Fax	forem ipsum dolor sit amet consectetur adipiscing	
VAT number	forem (psum dolor sit armet consectetur adipiscing elit volutpat	Website	lorem ipsum dolor sit amet consectetur adipiscing elit volutpat accumsanlorem ipsu	
Street address *	lorem ipsum dolor sit armet consectetur adipiscing elit volutpat accumsaniorem ipsu	Other relevant Information	lorem ipsum dolor sit amet consectetur adipiscing elit volutpat accumsanlorem ipsum dolor sit amet consectetur adipiscing elit volutpat accumsanlorem ipsum dolor sit amet consectetur adipiscing elit volutpat accumsanlorem ipsum dolor sit	
City *	lorem ipsum dolor sit armet consectetur adipiscing elit volutpat		and consecteur adjoist out and a counsenform jour doubt and and and a consecteur adjoist and a consecteur adjoist out and a counsenform journ dolor sit amet	
Postal code *	lorem ipsum dolor sit armet consectetur adipiscing elit volutpat			
Country *	Bermuda 🔻			
Contact person's information				
First name	Spillos	Postal code +	123456	
Last name •	Gmail	City •	Some city	
Job title	¥	Country *	Ålend Islands V	
Language(s) spoken *	English × French × Greek ×	Phone *	123456789	
Street address ·	Nice street	Email *	spillosv@gmail.com	
		Fax		
Authorisation case				
Project name	lorem ipsum dolor sit armet consectetur adipiscing elit volutpat accumsanlorem ipsu			
Authorisation case applied for .	Authorisation in conformity to type			
Is there a pre-engagement?	🔿 Yes 💿 No			
Languaga +	English			
S Exit				Save Save & next step 📀

Figure 58: Application Description

The Applicant must provide the Applicant's information and address details. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (\*).

In the Authorisation case part the user is asked to select the "Authorisation case applied for" as shown in Figure 59: Authorisation Case and according to the available authorisation cases.

Authorisation case	
Authorisation case applied for: *	Ţ
Is there a pre- engagment? : *	First authorisation New authorisation Extended area of use Renewed vehicle type authorisation Authorisation in conformity to type
Language: *	First authorisation + Authorisation in conformity to type New authorisation + Extended area of use

Figure 59: Authorisation Case

The system also displays the option to link this application to a pre-engagement. If the user selects "Yes" then the system requires the pre-engagement id as shown in Figure 60: Pre- engagement id.

Is there a pre- engagment? : *	● Yes ○ No
Pre-engagment Id : 🔺 🏾 *	٢

Figure 60: Pre- engagement id

The Applicant must also select the Language, in which all Formal Communication and Decisions/Authorisations will be delivered, shown in Figure 61: Language.

Language:	*
	Ŧ

Figure 61: Language

To save and move to the next step of the application file wizard, the applicant may select "Save and next step" button, shown in Figure 62: Save and next step.



To stop editing the application and go to the main menu "Exit" button is selected, shown in Figure 63: Discard Application-Exit button.



Figure 63: Discard Application-Exit button

To save the application, the applicant clicks on the "Save" button.



Figure 64: "Save "button

If there is unsaved information a warning message is displayed to the user about loss of unsaved information.



Figure 65: Warning message about unsaved information loss

# 4.1.1.3 Conformity assessment bodies

In this second step of the wizard as shown in Figure 66: Conformity Assessment Bodies, the Applicant must fill in information in regards to Notified Body(ies), Designated Body(ies) and Assessment Body(ies) (CSM RA). None of these bodies are mandatory and for each one of them the applicant may add more than one.

<b>B</b> (	Conformity Assessme	ent Bodies		
	Notified Body(ies)	Designated Body(ies)	Assessment Body(ies) (CSM RA)	
	+ Add Notified Bod	y .		

Figure 66: Conformity Assessment Bodies

When the applicant introduces any of the above bodies, then the system requires that the detailed information as shown in Figure 67: Conformity Assessment Bodies-Details is provided.

Notified Body(ies)	Designated Body(ies)	Assessment Body(ies) (CSM RA)		
Notified Body1				
Legal denomination			Body name *	
Body ID number *			Acronym	
VAT number				
Street address *				
City *			Postal code *	
Country *		¥		
Phone *			Fax	
Email *			Website	
Other relevant Information				
+ Add Notified Body				

Figure 67: Conformity Assessment Bodies-Details

The applicant can remove any of the inserted bodies, by selecting the remove button as shown in Figure 68: Conformity Assessment Bodies-Remove Body.



Figure 68: Conformity Assessment Bodies-Remove Body

The mandatory fields are clearly marked with red asterisk (\*). To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

	0	Previous step		
Figure 69: Previous step				

#### 4.1.1.4 Authorisation details

In this step of the wizard the Applicant is asked to introduce information on a Type and/or Variants depending on the Authorisation case selected in the Application Description step as shown in Figure 70: Authorisation Details step overview.

+ Add type	+ Add variant	<b>A</b>	
At least one author	risation of a type must be ad	ded!	
Issuing authori	ty: 🔺 *		
European Union     National Safety A	Agency for Railways Authority		

Figure 70: Authorisation Details step overview

The information required by the applicant to be introduced for all allowed Type and Variant(s) is based on the authorisation case requested, the full extent of which is shown in Figure 71: Authorisation Details for Type/Variant(s) in case of NEW authorisation. All mandatory information is marked with (\*) and is required.

	Type (new)	-
• Details		
Description of vehicle type	Je	
Type ID: 🔺 🔹		
Type name: 🛕 🕒	Alternative type name (when applicable):	
Reference to existing		
vehicle type authorisation:		
Description of the change	es as compared to the authorised vehicle type	
searchphon of the change	a da comparica to tito autoritaca tormac gipe	
Description of the changes:		
Description of the changes.		
Network(s) of the area of	1100	
reculor (3) of the area of	UGU	
Add/remove Member State	▲	
Information about the veh	hicle (if applicable)	
Vehicle identification		
Identifier: •	v Value: *	
Registration entity recipients		
Add type + Add va	priant	

*Figure 71: Authorisation Details for Type/Variant(s) in case of NEW authorisation* 

The applicant selects to fill-in the fields for Description of vehicle type/variant as can be found in the ERATV register and select at least one country by using the "Add/Remove Member state" button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 72: Member State(s) selection. Select "Whole EU" when there is no national rule applicable to the vehicle and only the Agency needs to perform the assessment.



Figure 72: Member State(s) selection

After saving the selection, detailed information that need to be filled in (Network(s) and stations with similar network characteristics in neighbouring Member State(s)) about each member state is displayed as shown in Figure 73: Authorisation Details – Member State details.

Add/remove	Member State
Belgium	France
Network(s)	
Stations with	similar network characteristics in neighbouring Member State(s) when those stations are close to the border as specified in Article 21.8 of Directive (EU) 2016/797
	Y
	+ Add Member State

Figure 73: Authorisation Details – Member State details

The applicant may also introduce "Information about the vehicle". For Vehicle identification the user may select an "Identifier" and introduce the value corresponding to the selected identifier. In addition a number of "Registration entity recipients" may be introduced, as shown in Figure 74: Authorisation Details - Information about the vehicle. The registration entity recipients will be notified of the decision when it will be delivered to the Applicant.

à	Information about the vehicle	(if applicable)			 
	Vehicle identification				
	Identifier: *		Ŧ	Value: *	]
	Registration entity recipients				
	Add type + Add variant				
Ise	uing authority: *				
• E • N	uropean Union Agency for Railways ational Safety Authority				

Figure 74: Authorisation Details - Information about the vehicle

For the combined authorisation cases offered by the system, "First Authorisation and Authorisation in conformity to type" and "New Authorisation and Extended area of use authorisation" the user must introduce the required information for both authorisations requested, as shown in Figure 75: Authorisation Details – Combined Authorisation case for FIRST+CONF.

+ Add type for first authorisation	+ Add variant for first aut	thorisation + Add authorisation i	n conformity to type 🕂	Add authorisation in conformity to type variant	A
At least one first authorisation of a type and	at least one authorisation in confor	mity to type must be added!			

Figure 75: Authorisation Details – Combined Authorisation case for FIRST+CONF

Another authorisation case that deviates from the general path of filling the Authorisation details information is the "Authorisation in conformity to type" as shown in Figure 76: Authorisation Details - Authorisation in conformity to type. In such an authorisation there is no introduction of Members State details, but only the selection of related Member State(s). In addition the applicant may introduce a number of "Information about the vehicle(s) to authorise" section, in a similar manner as in the "Information about the vehicle" for all other authorisation cases, also relate this information to a single vehicle or a range, as shown in Figure 77: Authorisation Description-Range of vehicle(s) to authorise and add any Coded or Non-coded restrictions applied to the selected vehicle(s).

	Type (conformity)	-
Description of vehicle	; type	
Type ID: 🔺 🔹		
Type name: 🔺 🔹	Atternative type name (when applicable)	
Area of use*		
<ul><li>Belgium</li><li>France</li></ul>		
+ Add/remove Membe	ver State	
Information about t	the vehicle(s) to authorise "	
	V Identifier: 🛕 *	
Conditions for use of the	he vehicle and other restrictions	
Coded restrictions:	+	
Non-coded restrictions:		
		li
Registration entity recipients:	•	
+ Add information about	ust vehicles(s)	

Figure 76: Authorisation Details - Authorisation in conformity to type

Range	Ŧ	Identifier: 🛕 🔺			Ŧ	From:		
onditions for use of the vel	nicle and other rest	rictions						
oded restrictions:			H					
on-coded restrictions:								
egistration entity								
cipients:			+					

Figure 77: Authorisation Description- Range of vehicle(s) to authorise

The last step in this Authorisation details step is the selection of the "Issuing Authority". If the Applicant has introduced a number of Member States, within the Type/Variant(s), then the system sets this value automatically to "European Union Agency for Railways", as shown in Figure 78: Issuing Authority. The applicant may choose to use the "National Safety Authority", only if all introduced Type/Variant(s) address one and the same Member State, in which case the Member State is the issuing authority.

Issuing authority: *	
European Union Agency for     National Safety Authority	Railways

Figure 78: Issuing Authority

To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

## 4.1.1.5 Documentation

In this step of the wizard as shown in Figure 79: Application documentation, the Applicant must provide the documentation relevant to the Authorisation case selected in the first step. The list of folders as appear in this step stem from Annex I of the implementing act (<u>Commission Implementing</u> <u>Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process</u>).

ease upl	load here the documentary evidence supporting your application	Show document descript
⊘	Evidence related to the requirements capture and the applied methodology (18.1, 18.7 and 18.8)	•
$\odot$	E Decision(s) of non-application of TSIs (18.3)	•
$\odot$	EC Declarations of Verification for the mobile subsystems, including accompanying technical files (18.5)	•
$\odot$	File accompanying the application and the decision from the previous authorisation (18.6)	•
$\odot$	Evidence of the technical compatibility of the vehicle with the network (18.9)	•
$\odot$	Eisk declaration covering the requirements capture (18.10)	•
$\odot$	Safety assessment report covering modification of the overall safety level (18.11)	•
$\odot$	Risk declaration covering the modification (18.12)	•
$\odot$	Enformation required for ERATV (18.13)	•
$\odot$	Same Maintenance & operation documentation (18.14)	•
	Conter Co	

Figure 79: Application documentation

The Applicant can upload any documents needed for the application by selecting the "+" button relevant to each folder. Such action displays the Add file(s) page, shown in Figure 80: Add file(s) and allow the user to either select one or more files to upload from a specific folder on the user's system as shown in Figure 81: Choose file(s) or by drag and drop the file(s) in the "Drop your file(s) here" section. Please note that the system accepts as valid uploads the ones found in the File upload rules:

- Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx, pptx, mp4, txt, flv, pdf, ppt, doc, odp, xls, odt, ods.
- Maximum file size 2048MB

File upload rul	es					
pptx, mp4,	file extensions: msg, tiff, brr txt, flv, pdf, ppt, doc, odp, xl ile size 2048MB		ov, jpeg, jpg, z	tip, xlsx, wmv, rar, rtf,	fodp, fods, png, fod	t, docx,
	<b></b>					
			OR 🖢	Choose file(s)		
Drop your file(s	) here or click the button to	browse				
File						

Figure 80: Add file(s)

		V A
WAYS		
🗣 Open	×	
🕞 🗇 – 🗼 « Downloads 🕨 VA Demo	- + Search VA Demo 🔎	
Organize - New folder	II • 🔟 😡	
Favorites	Date modified Type	g, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx,
	08/10/2018 00:48 Microsoft	
Downloads Downloads Dummy application file for VA prese	entati 04/07/2018 13:51 Foxit Phar	
Recent Places 😰 Updated Draft Safety Culture Improv	veme 11/01/2019 18:19 Foxit Phar	
Desktop  Dibraries  Documents  Music  Pictures  Videos  Videos  U		Choose file(s)
File name:	✓ All Files	
	Open 🔽 Cancel	
Evidence relate		Add file(s) Cancel
Evidence related to the requirements capture and the app	To the notice of the net to the n	(0)



	ile upload rules
	<ul> <li>Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx, ppbr, mp4, bd, flv, pdf, ppt, doc, odp, xls, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>
Fi	les uploaded successfully
	File

Figure 82: Successful upload

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the messaged displayed in Figure 82: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 83: Uploaded file.

	<ul> <li>Interprogression</li> </ul>	
oplicatio	on Documentation:	
lesse uni	load here the documentary evidence supporting your application	
		Show document description
۲	Evidence related to the requirements capture and the applied methodology (18.1, 18.7 and 18.8)	
$\odot$	Decision(s) of non-application of TSIs (18.3)	
⊘	EC Declarations of Verification for the mobile subsystems, including accompanying technical files (18.5)	
$\odot$	Even the second previous authorisation (18.6)	E
$\odot$	by Evidence of the technical compatibility of the vehicle with the network (18.9)	•
$\odot$	Eisk declaration covering the requirements capture (18.10)	•
$\odot$	Safety assessment report covering modification of the overall safety level (18.11)	•
$\odot$	Risk declaration covering the modification (18.12)	•
$\odot$	b Information required for ERATV (18.13)	•
$\odot$	b Maintenance & operation documentation (18.14)	
$\odot$	🎥 Other	
	TXT test.bd	± 🛛 🗊
	🗅 TXT fest.bt (46.00 bytes) -	

Figure 83: Uploaded file

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file.

To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

### 4.1.1.6 Mapping tables

In the Mapping Tables step of the wizard, the applicant is asked to reference the provided documentation in the previous step, to the assessment aspect set for each Authorising entity and NSA involved in the application, as shown in Figure 84: Mapping Tables wizard step. The assessment aspects are described in Annex II for the Authorising Entity and Annex III for each NSA, of the practical arrangements document (<u>Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).</u>

Applica	ation Mapping table	es				
AE	's Mapping Table(s)	BE NSA's Mapping Table(s)	FR NSA's Mapping Table(s)			
Pleas	se define in the mapping	tables the precise location of the in	formation inside the uploaded do	cuments		
		Тур	e (new)			
•	Details					
G Prev	vious step		E	) Save	Save & next step	Ð

Figure 84: Mapping Tables wizard step

For every assessment aspect found in the mapping tables, the user is required to provide the reference from the documentary evidence, the reference with the selected document and a comment if applicable as shown in Figure 85: Mapping Tables details. The user may reference more than one file for each assessment aspect, by using the "+". It can be removed by using the "-". The documentary evidence is a drop down list that includes all the folders and added files in the previous Documentation step.

	Assessment aspect according to Annex II of Regulation (EU)	Documentary evidence (Title of the document (name/version/date) or link to the uploaded document)	Reference and description (Reference inside the document and description)	Comments (Other information about the evidence and/or the reference)
1	II.1. Consistency of the application with the pre-engagement baseline	•		
2	II.2. Adequacy of the selected authorisation case		&	

Figure 85: Mapping Tables details

When the user is satisfied, may use any of the "Save", "Save and Next" or "Previous" buttons. To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

## 4.1.1.7 Sign & submit application

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 86: Review application.

Sign and submit the application	
✓ Application description	
Pre-engagement Authorisation case Language Applicant's information Contact person's information	
Reference to pre-engagement baseline	
Appleation ID N/A	
Conformity assessment bodies	
Notified Body(res) Designated Body(res) Assessment Body(es) (CSM R4)	
Ŧ	
Automation details	
Description Authorisation type(s) and variant(s)	
Issuing authority	
Documentation	
	Show document descriptions
Evidence related to the requirements capture and the applied methodology (18.1.18.7 and 18.8)	
Updated Draft Safety Outure Improvement Strategy VOE paf	Δ.
Decision(s) of non-application of TSIs (18.3)	
Since CD Declarations of Verification for the mobile subsystems, including accompanying technical files (18.6)	
By Evidence of the technical compatibility of the vehicle with the network (18.9)     By Risk declaration covering the requirements capture (18.10)	
By Risk declaration covering the requirements capture (15.10)     By Information required for ERATV (15.13)	
2 Maintenance & generation documentation (18.14)	
© 85_0mm	
Mapping tables	
AE's Mapping Table()	
For this step to be filled in, you must first declare an authorisation case in step 1 (authorisation description), and declare the area of use for at least one type/variant in step 3 (authorisation details).	
C Previous step	Submit 🌖

Figure 86: Review application

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select "Previous step". To submit the application the user selects the "Submit" button.

#### 4.1.2 Pre-engagement Requests

#### 4.1.2.1 Create a new application

This section explains how an applicant user of the system can create and prepare a VA preengagement application file.

The available vehicle authorisations cases are the below and are the same as VA:

- First Authorisation
- New Authorisation
- Extended area of use authorisation
- Renewed vehicle type authorisation
- Authorisation in conformity to type
- First Authorisation and Authorisation in conformity to type
- New Authorisation and Extended area of use authorisation

For detailed description on the above cases, it is recommended that the reader refers to the relevant Regulation and Directives of the EU and the Practical Arrangements as describe in the agency's website: <u>Vehicle Authorisations (VA)</u>.

Only applicant users can create applications. In the "Main page - Applications list", select "New" and then "Request pre-engagement" as shown in Figure 87: Create Vehicle Authorisation preengagement application.

	+ New
ſ	Apply for a vehicle authorisation
	Request pre-engagement

Figure 87: Create Vehicle Authorisation pre-engagement application

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 88: Progress bar of a Vehicle Authorisation PE. By selecting "Hide progress bar" the wizard is hidden.

1	2	$\odot$	4
PRE-ENGAGEMENT DESCRIPTION Provide information about the applica nt and the intended authorisation	INTENDED AUTHORISATION DETAILS Provide the characteristics of the inte nded authorisation	DOCUMENTATION Provide the documentation supportin g your pre-engagement request	SUBMIT REQUEST
	🔺 Hide p	rogress bar	



The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (\*) in their label as shown in Figure 53: Mandatory fields.

In addition, for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 54: Tooltip information.

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 55: Alerts and fields in error.

When a user will select to "Submit" the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 89: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

	Application errors found
÷	Please check the following errors; navigate to their respective Steps to verify and re-submit your applicatio
	Application Description
	Language
1	Address     Email

## Figure 89: Error message validating the submission of an application

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 90: Applications list with a draft application, by clicking the "View" button.

Showing 1 - 10 of	38 applications							
^	APPLICANT	APPLICATION	APPLICATION TYPE	APPLICATION/PE	SUBMISSION	STATU	s	MODIFIED -
View				Pre-engagement		Draft	ŧ	01/04/2019

Figure 90: Applications list with a draft application

The Applicant follows the below steps to create an application:

- Pre-engagement Description
- Intended Authorisation Details
- Documentation
- and finally, Submit Request

The information contained in all the above forms stems from the Annexes of the Practical Arrangements found in the (<u>Commission Implementing Regulation (EU) 2018/545 of 4 April 2018</u> establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).

#### 4.1.2.2 Pre-engagement description

In this first step of the wizard as shown in Figure 91: VA Pre-engagement Application Description, the Applicant must fill in information in regard to Applicant's information, Contact person's information and details on the Authorisation case.

Applicant's information					
Legal denomination: 🛕 🔸		]	Aaronym:		
Applicant's name: 🔺 📩		)	VAT number: 🔺 *		
National registration number: 🔺		)			
Street 🔺 *		]			
City: 🛕 🔹		]	Postal Code: 🔺 *		
Country: 🛕 🔹	Ţ	]			
Phone: 🛕 🔹		]	Fax		
Email: 🛕 *		]	Website:		
Other relevant Information:					
	A				
Contact person's information					
First name:	Spilos		Last name:	Genail	
Job title:			Company:		
Language(s) spoken: *	Greek × English ×				
Street. *	Some Street				
City: •	Nice City		Postal Code: •	flute	
Country: •	United Kingdom 🔻				
Phone: •	sdsdf		Fax		
Email: •	spilosv@gmail.com	]			
Authorisation case					
Authorisation case applied for: •	New authorisation				
Pre-engagment :					
Is there a pre-engagment? : 🛦 🔹	O Yes O No				
Language: 🔺 🔹					
<b>T</b>					
8 Evit					🖺 Save Save & next step 😜

Figure 91: VA Pre-engagement Application Description

The Applicant must provide the Applicant's information and address details. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (\*).

In the Authorisation case part, the user is asked to select the "Authorisation case applied for" as shown in Figure 59: Authorisation Case and according to the available authorisation cases.

The system also displays the option to link this application to a pre-engagement. If the user selects "Yes" then the system requires the pre-engagement id as shown in Figure 60: Pre- engagement id.

The Applicant must also select the Language, in which the decision will be issued, shown in Figure 61.

To save and move to the next step of the application file wizard, the applicant may select "Save and next step" button, shown in Figure 92: Save and next step.



Figure 92: Save and next step

To stop editing the application and go to the main menu "Exit" button is selected, shown in Figure 93: Discard Application-Exit button.



Figure 93: Discard Application-Exit button

To save the application, the applicant clicks on the "Save" button, shown in Figure 94: "Save "button.



If there is unsaved information a warning message is displayed to the user about loss of unsaved information, shown in Figure 95: Warning message about unsaved information loss.

Confirm	
You are about to lose your unsaved changes! Do you want to continue?	
	Yes No

*Figure 95: Warning message about unsaved information loss* 

### 4.1.2.3 Intended Authorisation Details

In this second step of the wizard as shown in Figure 96: Authorisation Description, the Applicant must provide the characteristics of the intended authorisation. Specifically, in this step of the wizard the Applicant is asked to introduce information on a Type and/or Variants depending on the Authorisation case selected in the Application Description step.

嶜 Authorisation description	
+ Add type + Add variant	
At least one authorisation of a type must be added!	
Issuing authority: *	
European Union Agency for Railways     National Safety Authority	

Figure 96: Authorisation Description

The information required by the applicant to be introduced for all allowed Type and Variant(s) is based on the authorisation case requested, the full extent of which is shown in Figure 97: Authorisation Description for Type/Variant(s) in case of a New authorisation. All mandatory information is marked with (\*) and is required.

Authorisation description		
	Type (First authorisation)	
* Details		_
Description of vehicle type		
Type ID: 🔺 📍		
Туре таткі 🔺 📍	Abenative type name (when ap ploate)	
Network(s) of the area of use		
+ Addresses Member State	A	
Reprint when selecting the sites of a appropriate Presse address your appr	ten, pro neu señal de ar fron Bengle Melle Bal bar sollhe De agerça ao De Constante o accesteura will arbite (C) al Directo (C) 2010/01. La result de submanne el prov approates for a verse autoritation frough de Calo de Verse autoritation fincip la activita señal autoritation provincien approates i trave Benter i Melle.	110 monte Martiler Italaçı; may not be
Information about the vehicle	(if applicable)	
Vehicle identification		
Identifier.	T Nove 1	
Registration entity recipients		
• Add type • Add carlood		
Issuing authority: 🛕 🔹		
European Union Agency for Railways National Selety Authority		
Previous step		🔁 Same Same & S

Figure 97: Authorisation Description for Type/Variant(s) in case of a New authorisation

The applicant selects to fill-in the fields for Description of vehicle type/variant and select at least one country by using the "Add/Remove Member state" button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 98: Member State(s) selection. Select "Whole EU" when there is no national rule applicable to the vehicle and only the Agency needs to perform the assessment.



Figure 98: Member State(s) selection

After saving the selection, detailed information that need to be filled in (Network(s) and stations with similar network characteristics in neighbouring Member State(s)) about each member state is displayed as shown in Figure 99: Authorisation Details- Member State details.

application for a ver	ting the Area of Use, you may select one or more Member States that have notified the Agency and the Commission in accordance with Article 57(2) of Directive (EU) 2016/797. As a result, the submission of you cle authorization through the OSS in some Member State(s) may not be appropriate. Please address your application for vehicle authorization directly to national safety authority(ies) following the procedures lembers States.
approaction in those i	
Greece	
Network(s)	
	■
	<b>_</b>
O	nilar network characteristics in neighbouring Member State(s) when those stations are close to the border as specified in Article 21.8 of Directive (EU) 2016/797
Stations with si	
Stations with si	
Stations with si	Add Member State
Stations with si	
Stations with si	

Figure 99: Authorisation Details- Member State details

The applicant may also introduce "Information about the vehicle". For Vehicle identification the user may select an "Identifier" and introduce the value corresponding to the selected identifier. In addition, a number of "Registration entity recipients" may be introduced. The registration entity recipients will be notified of the decision when it will be delivered to the Applicant.

Identifier: *	Ŧ	Value: *	
Registration entity rec	_		
ipients	<b>•</b>		

Figure 100: Information about the vehicle

For the combined authorisation cases offered by the system, "First Authorisation and Authorisation in conformity to type" and "New Authorisation and Extended area of use authorisation" the user must introduce the required information for both authorisations requested, as shown in Figure 101: Authorisation Details – Combined Authorisation case for FIRST+CONF.

Authorisation description	
+ Add type for first authorisation + Add variant for first authorisation + Add authorisation in conformity to type + Add authorisation in conformity to	type variant
At least one first authorisation of a type and at least one authorisation in conformity to type must be added!	

Figure 101: Authorisation Details – Combined Authorisation case for FIRST+CONF

The applicant may provide also, the relevant information about the description of a vehicle type. The user may fill in the Type ID and the type name of the vehicle. Also, he can delete the type, if he selects the (-) button.

	Type (First authorisation)
<ul> <li>Details</li> </ul>	
Description of veh	
	cle type

Figure 102: Description of vehicle type (First authorisation)

The last step in this Authorisation details step is the selection of the "Issuing Authority". If the Applicant has introduced a number of Member States, within the Type/Variant(s), then the system sets this value automatically to "European Union Agency for Railways", as shown in Figure 103: Issuing Authority. The applicant may choose to use the "National Safety Authority", only if all introduced Type/Variant(s) address one and the same Member State, in which case the Member State is the issuing authority.



Figure 103: Issuing Authority

To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

#### 4.1.2.4 Documentation

In this step of the wizard as shown in Figure 104: Application documentation, the Applicant must provide the documentation relevant to the Authorisation case selected in the first step. The list of folders as appear in this step stem from Annex I of the implementing act (<u>Commission</u> <u>Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for</u> the railway vehicle authorisation and railway vehicle type authorisation process).

plicatio	on Documentation:	
ease upl	load here the documentary evidence supporting your application	Show document description
•	bescription of the vehicle type and-or vehicle(s) to be authorised (art. 23 a)	
$\odot$	Authorising entity and authorisation case or cases chosen (art. 23.b)	
$\bigcirc$	b Intended area of use (art. 23.c)	
$\bigcirc$	Anticipated conditions of use of the vehicle and other restrictions (art. 23.d)	
$\bigcirc$	b Planning (art. 23.e)	
$\bigcirc$	b Identification of the methodology for the requirements capture (art. 23.f)	
$\bigcirc$	b Rules and requirements identified (art. 23.g)	
$\bigcirc$	b Conformity assessments, modules and ISV (art. 23.h)	
$\bigcirc$	> Practical arrangements for tests on the networks (art. 23.i)	
$\odot$	b Contents of the documentation to be submitted for the vehicle type authorisation and-or vehicle(s) APOM(s) art. 23.j)	
$\odot$	b Language to be used during the authorisation process (art. 23.k)	
$\odot$	Proposed applicant's organisation for the VA process (art. 23.i)	
$\odot$	E Changes justifying an update of the pre-engagement baseline (art. 24.3) (If applicable)	
$\odot$	Conter Conter	-

Figure 104: Application documentation

The Applicant can upload any documents needed for the application by selecting the "+" button relevant to each folder. Such action displays the Add file(s) page, shown in Figure 105: Add file(s) and allow the user to either select one or more files to upload from a specific folder on the user's system as shown in Figure 106: Choose file(s) or by drag and drop the file(s) in the "Drop your file(s) here" section. Please note that the system accepts as valid uploads the ones described in the File upload rules.

File u	pload ru	les								
1	optx, mp4,		ppt, doc, o	ff, bmp, eml, dp, xls, odt, e	nov, jpe	g, jpg, z	tip, xlsx, wmv, rar	rtf, fodp, f	ods, png, foo	it, docx,
		1			 OR	11	Choose file(s)			
Drop	your file(	s) here or c	ick the butt	on to browse						
File										

Figure 105: Add file(s)

	VA Demo 🗸 4	Search VA Demo	<mark>ہ ر</mark>	
Organize 🔹 New folder			. 0	
Favorites	Name	Date modified	Туре	g, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx,
E Desktop	15-Safety Policy.docx	08/10/2018 00:48	Microsoft	g, jpg, zip, xisx, wint, rui, ru, roup, rous, prig, rout, doex,
🔰 Downloads	Dummy application file for VA presentati		Foxit Phan	
Skecent Places	😰 Updated Draft Safety Culture Improveme		Foxit Phan	
E Desktop				
Documents				E Choose file(s)
🕹 Music				
S Pictures				
Uideos			•	
File name:		All Files	-	
			Cancel	

# Figure 106: Choose file(s)

Fi	ile upload rules
	<ul> <li>Supported file extensions: msg. tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png. fodt, docx, pptc, mp4, bt, flv, pdf, ppt, doc, odp, xls, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>
Fi	les uploaded successfully
	File



When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the messaged displayed in Figure 107: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 108: Uploaded file.

🖹 A	pplicatio	on Docu	umentation:		
	Please up	bload here	the documentary evidence supporting your application	w document descriptions	
	$\bigcirc$	🖕 Evi	vidence related to the requirements capture and the applied methodology (18.1, 18.7 and 18.8)	•	
	$\odot$	🍃 De	ecision(s) of non-application of TSIs (18.3)	•	
	$\odot$	🍃 De	sclaration of conformity to the type and associated documentation (18.4)	•	
	$\bigcirc$	🖕 EC	C Declarations of Verification for the mobile subsystems, including accompanying technical files (18.5)	•	
	$\odot$	🖕 Ev	vidence of the technical compatibility of the vehicle with the network (18.9)	•	
	$\bigcirc$	╞ Ris	sk declaration covering the requirements capture (18.10)	•	
	$\bigcirc$	🕞 Infe	formation required for ERATV (18.13)	•	
	$\odot$	🖕 Ma	aintenance & operation documentation (18.14)	-	
	$\bigcirc$	🖕 Ot	her		
			TXT test.bt	📩 💋 🛍	
G	Previo	us step		Save & next step	€

# Figure 108: Uploaded file

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file.



### Figure 109: Edit button- Document info

Document info	mation	
File	TXT test.txt	
Title		don -
Reference and description		1
<ul> <li>Version history</li> </ul>		
		Close

## Figure 110: Document information

The user can select the "Show document description" button and then the system displays the details of the uploaded file e.g. the size, the title of the document and the description.

A 🗐	pplicat	ion Docu	imentation:	
	Please u	pload here	the documentary evidence supporting your application	
				Show document descriptions
	$\bigcirc$	🍃 De	scription of the vehicle type and-or vehicle(s) to be authorised (art. 23.a)	
	$\bigcirc$	🖕 Au	thorising entity and authorisation case or cases chosen (art. 23.b)	
	$\bigcirc$	🕞 Inte	ended area of use (art. 23.c)	
	$\bigcirc$	🖕 An	ticipated conditions of use of the vehicle and other restrictions (art. 23.d)	
	$\odot$	🍃 🖕 Pla	unning (art. 23.e)	•
	$\odot$	🍃 🖢 Ide	ntification of the methodology for the requirements capture (art. 23.f)	
	$\odot$	🖕 Ru	les and requirements identified (art. 23.g)	
	$\odot$	🍃 Co	nformity assessments, modules and ISV (art. 23 h)	•
	$\odot$	🝃 Pra	actical arrangements for tests on the networks (art. 23.i)	•
	$\odot$	🍃 Co	ntents of the documentation to be submitted for the vehicle type authorisation and-or vehicle(s) APOM(s) art. 23.j)	•
	$\odot$	🍃 La	nguage to be used during the authorisation process (art. 23 k)	
	$\bigcirc$	🖕 Pro	oposed applicant's organisation for the VA process (art. 23.I)	•
	$\odot$	🍃 🖕 Ch	anges justifying an update of the pre-engagement baseline (art. 24.3) (If applicable)	•
	$\odot$	🖕 Oti	her	•
			TXT test.bd	📩 🔗 🛍
		Ľ	TXT test.bd (46.00 bytes) -	
G				Save & next step 🔿

Figure 111: "Show document descriptions" button

To move to the next step "Save & next step" is selected as shown in Figure 62: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 69: Previous step.

## 4.1.2.5 Sign & submit application

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 112: Review application.

🗟 Sign a	and submit the applica	tion							
• Appli	cation description								
4	plicant's information	Contact person's information Authoris	ation case						
	Legal denomination:	test for guide		Postal Code:	CODE				
	Applicant's name:	applicant's anme		Country:	Aniba				
	Acronym			Phone:	phone				
	WAT number:	NUMBER		Email:	version@mailinator.com				
	National registration n umber:	NUMBER		Fax					
	Street address:	STREET		Website					
	City:	CITY		Other relevant Information					
* Auto	* Authorisation details								
A.,	Authorisation type(s) and variant(s) ISSUING_AUTHORITY								
	Type TYPE ID (First autho	risation) •							
	Type ID	TYPE ID		Type name:	TYPE NAME				
	Atternative type name (when applicable)								
	Vehicle identification - Identifier	evn		Vehicle identification - Value	value				
	Registration entity recipients	userguide@gmail.com							
Greece									
	Network(s):								
	Stations with similar n	stwork characteristics in neighbouring Member 5	State(s) when those stations are close	to the border as specified i	n Article 21.8 of Directive (EU) 2016/797				
* Docur	mentation								
						Show document descriptions			
•	En Description of the ve	hicle type and or vehicle(s) to be authorised (ar	t. 23.a)						
		d authorisation case or cases chosen (art. 23.b)							
•	Entended area of use	(art. 23.c)							
0	The Anticipated condition	is of use of the vehicle and other restrictions (ar	t. 23.d)						
0	Planning (art. 23.e)								
		nethodology for the requirements capture (art. 2	3.0						
	Rules and requirem								
		ents, modules and ISV (art. 23.h)							
		nts for tests on the networks (art. 23.i)							
		amentation to be submitted for the vehicle type a	suthorisation and or vehicle(s) APOM	in we za p					
		d during the authorisation process (art. 23.k) s organisation for the VA process (art. 23.l)							
		n update of the pre-engagement baseline (art. 2	(4.3) (if applicable)						
	Constant and a second s								
G Pre	vious step					Submit 🕥			

Figure 112: Review application

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select "Previous step" as shown in Figure 69: Previous step. To submit the application, select "Submit".

#### 4.2 Single Safety Certificate (SSC)

### 4.2.1 Single Safety Certificate

#### 4.2.1.1 Create a new application

This section explains how an applicant user of the system can create and prepare a SSC application file. The available Single Safety Certificates types are:

- New Single Safety Certificates
- Update of Single Safety Certificate(s)

Renewal of Single Safety Certificate(s) 

For detailed description on the above cases, it is recommended that the reader refers to the relevant Regulation and Directives of the EU and the Practical Arrangements as describe in the agency's website: Single Safety Certificates (SSC).

Only applicant users can create applications. In the "Main page - Applications list", select "New" and then "Apply for a Single safety certificate" as shown in Figure 113: Create Certificate application.



Figure 113: Create Certificate application

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 114: Progress bar of s SSC application. By selecting "Hide progress bar" the wizard is hidden.

1	2	3	$\odot$	0	6
SCOPE OF APPLICATION Define the type of your applicat ion together with intended type and area of operation	APPLICANT'S CONTACT DETAILS Provide the relevant contact de tails of your organisation	DOCUMENTARY EVIDENCE (PART I) Provide description of the safet y management system and oth er related documents and map them with relevant requirement s	DOCUMENTARY EVIDENCE (PART II) Provide additional documents demonstrating how the relevan t national rules are met and ma p them with these rules	OTHER ADMINISTRATIVE DOCUMENTS Provide other relevant docume nts	SUBMIT APPLICATION
		🔺 Hide p	rogress bar		

Figure 114: Progress bar of s SSC application

The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (\*) in their label as shown in Figure 115: Mandatory fields.

	_
Expected date of starting s ervices/operations *	

Figure 115: Mandatory fields

In addition, for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 116: Tooltip information.

Expected date of starting s ervices/operations *
Expected date of your rail services/o perations for the whole area of operat
ion

Figure 116: Tooltip information

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 117: Alerts and fields in error.

Type of application 🛕	*	<b>•</b>

Figure 117: Alerts and fields in error

When a user will select to "Submit" the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 118: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

! atic	Please check the following errors; navigate to their respective Steps to verify and re-submit your applic n
₿:	Scope of application
	Basic information Expected date of starting services/operations
22°	Applicant's details

Figure 118: Error message validating the submission of an application

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 119: Applications list with a draft application, by clicking the "View" button.

Showing 1 - 10 o	f 47 applications								
~	APPLICANT	APPLICATION	APPLICATION TYP	APPLICATION/PE	SUBMISSION	DECISION	STATUS	AREA	MODIFIED -
			E						
	test for user manual			Application			Draft		28/03/2019
			_						

Figure 119: Applications list with a draft application

The Applicant follows the below steps to create an application:

- Scope of Application
- Applicant's Contact Details
- Documentary Evidence-SMS Part (Part I)
- Documentary Evidence (Part II)
- Other Administrative Documents
- And finally, Submit Application

The information contained in all the above forms stems from the Annexes of the Practical Arrangements found in the (<u>Commission Implementing Regulation (EU) 2018/545 of 4 April 2018</u> establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).

# 4.2.1.2 Scope of application

In this first step of the wizard as shown in Figure 120: Scope of application, the Applicant must fill in information in regards to Scope of application, basic information, Members State concerned with the intended area of operation and issuing authority.

Scope of application	
Basic information *	
Type of application *	· · · · · · · · · · · · · · · · · · ·
EIN of the previous certificat e(s) *	
Pre-engagement	○ Yes ○ No
Expected date of starting ser vices/operations *	
Add/remove Member Sta plication for a vehicle authorization Issuing authority:	Warning : when selecting the Area of Use, you may select one or more Member States that have notified the Agency and the Commission in accordance with Article 57(2) of Directive (EU) 2016/797. As a result, the submission of your ap n through the OSS in some Member State(s) may not be appropriate. Please address your application for vehicle authorization directly to national safety authority(ies) following the procedures applicable in those Members States.
European Union Agency for Ra National Safety Authority	hrays
Language: *	
	•
8 Exit	🖺 Save Save & next step 🔾

Figure 120: Scope of application

In the Basic information part (Scope of application), the user is asked to select the "Type of application" as shown in Figure 121: Type of application and according to the available types. All mandatory fields are clearly marked by red asterisk (\*).

Basic information *	
Type of application	New single safety certificate Update of safety certificate(s) Renewal of safety certificate(s)

Figure 121: Type of application

The system also displays the option to link this application to a pre-engagement. If the user selects "Yes" then the system requires the pre-engagement id as shown in Figure 122: Pre-engagement id and when an application is linked to a previous one, either a closed pre-engagement or a formal application in any status, the previous application file is copied an is available for further editing to the applicant.

Pre-engagement	• Yes 🔿 No
Pre-engagement id	

Figure 122: Pre-engagement id

The system provides to the user the option to select the expected date of starting service.

xpected date of starting service /operations A				1				8
×.	<		Ма	irch 2	019		>	
	M	τ	W	т	F	s	s	
	25	28	27	28	1	2	3	
	4	5	8	7	8	8	10	
	11	12	13	14	15	16	17	
	18	19	20	21	22	23	24	
	25	28	27	28	29	30	31	
	1	2	3	4	5	6	7	

Figure 123: Expected date of starting service(s) operations

The applicant selects at least one country by using the "Add/Remove Member state" button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 124: Member State(s) selection. Select "Whole EU" when there is no national rule applicable to the vehicle and only the Agency needs to perform the assessment.

	Austria (AT)	Spain (ES)		Netherlands (NL)
	Belgium (BE)	 Finland (FI)		Norway (NO)
-	Bulgaria (BG)	France (FR)		Poland (PL)
	Switzerland (CH)	Croatia (HR)		Portugal (PT)
	Channel Tunnel (CT)	Hungary (HU)		Romania (RO)
	Czech Republic (CZ)	Ireland (IE)		Sweden (SE)
	Germany (DE)	Italy (IT)		Slovenia (SI)
	Denmark (DK)	Lithuania (LT)		Slovakia (SK)
	Estonia (EE)	Luxembourg (LU)	513	United Kingdom (UK)
	Greece (EL)	Latvia (LV)		Whole EU (EU)

Figure 124: Member State(s) selection

After saving the selection, detailed information that need to be filled in about each member state is displayed as shown in Figure 125: Type of operation requested.

Add/secove Member State     Warning : when selecting the Area of Use, you may select one or more Member States that have notified the Agency and the Commission in accordance with Article 57(2) of Directive (EU) 2018/707. As a result, the submission of your application for a vehicle authorization th rough the OSS in some Member States() may not be appropriate. Please address your application for vehicle authorization directly to national safety authority(ies) following the procedures applicable in those Members States.
Greece
Type of operation requested (select one or more) * Select at least one or more services requested
Passanger transport
Freight transport
Shurting only:
© Other:
Rail transport operations
Definition of the intended area of operation:
Station(i) in neighbouring Member State(s):
Add Member State

## Figure 125: Type of operation requested

The applicant can select at least one or more services requested which are shown in Figure 125: Type of operation requested. If the applicant selects the "Passenger and Freight transport "buttons, the system displays the options "Including" and "Excluding" with default value "Excluding".

If the applicant selects the "Shunting only" or the "Other" the system displays a text box where the applicant can provide additional information, e.g. if shunting operations include/exclude wagons of dangerous goods or not, if they are going to be provided within the stations or in the isolated industrial areas.

The user can add or remove Definition of the area of operation and neighbouring countries as shown in Figure 126: Rail transport operations (the applicant can explain in the text area e.g. the whole network or specific lines, in each Member State where relevant).

Rail transport operations	
Definition of the intended area of operation:	
l l l l l l l l l l l l l l l l l l l	
Station(s) in neighbouring Member State(s):	
· · · · · · · · · · · · · · · · · · ·	+ Add Member State

Figure 126: Rail transport operations

The last step in wizard of Scope of application, is the selection of the "Issuing Authority". If the Applicant has introduced a number of Member States, then the system sets this value automatically to "European Union Agency for Railways", as shown in Figure 127: Issuing Authority. The applicant may choose to use the "National Safety Authority", only if he chooses one Member State, in which case the Member State is the issuing authority.



Figure 127: Issuing Authority

The Applicant must also select the Language, in which the decision will be issued, shown in Figure 128: Language.

Language:	*		
		۳	

Figure 128: Language

To save and move to the next step of the application file wizard, the applicant may select "Save and next step" button, shown in Figure 129: "Save and next" button.



Figure 129: "Save and next" button

To save the application, the applicant clicks on the "Save" button.



If the user selects the "Save" or the "save and next" buttons, the system saves the changes and displays the below confirmation message:



To stop editing the application and go to the main menu "Exit" button is selected, shown in Figure 132: Discard application- "Exit" button.



Figure 132: Discard application- "Exit" button

If there is unsaved information a warning message is displayed to the user about loss of unsaved information as shown in Figure 133: Warning message about unsaved information loss.

Confirm	
You are about to lose your unsaved changes! Do you want to continue?	
	Yes No

Figure 133: Warning message about unsaved information loss

## 4.2.1.3 Applicant's Contact Details

In this second step of the wizard as shown in Figure 134: Applicant's details, the Applicant must fill in information in regard to Applicant's information and Contact person's information.

ilcant's details		rigness bar		
oplicant's information				
Legal denomination: •		Postal Code: •		
Acronym:		Country: •		r
WAT number. •		Phone: •		
National registration number: *		Ensit +		
Street address: +		Fox:		
City: •		Website:		
		Other relevant information:		
Contact person's information				
First name: +	era applicant 2	Postal Code: -	CODE	
Last name: •	hast	City: •	CITY	
Job title:		Country: •	Aruba	T
Language(s) spoken: *	Dutch ×	Phone: •	PHONE	
Street address: *	street	Enal: •	era_appicant2@mailrator.com	
		Foc.		
Previous step				💾 Bave Bave & next

Figure 134: Applicant's details

The Applicant must provide the Applicant's information and address details. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (\*).

In addition, the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 135: "Previous step" button.



## 4.2.1.4 Documentary evidence

In this step of the wizard, in the section "SMS Evidence" as shown in Figure 136: Documentary evidence SMS part "New" type of application, the applicant must provide the documentation. The applicant can upload any documents needed for the application by selecting the "+" button relevant to each folder. The documentary evidence provides description of the safety management system and other relevant documents and map them with relevant requirements.

SMS Evid	ence SMS Mapping Table	TSI OPE Mapping Table				
			compliance with the requirements set out in <u>point (a) of</u> tation, the applicable TSI OPE requirements are met.	Article 10(3) of Directive. (EU) 2018/798 and showing how those r	equirements are met together with information crossreferencing th	te Safety Management System against Ann Show document descriptions
•	SMS Description					•
$\odot$	SMS Other Evidence					•

Figure 136: Documentary evidence SMS part "New" type of application

If the applicant selects the options "Update" or "Renewal" in the Type of application as shown in Figure 137: Documentary evidence SMS part "Update or Renewal" type of application, the system displays an extra folder in Documentary evidence wizard the "SMS Description of changes" folder as shown in Figure 137: Documentary evidence SMS part "Update or Renewal" type of application.

			Filde progress bar
ocumentary evide	ence SMS part		
SMS Evidence	SMS Mapping Table	TSI OPE Mapping Table	
			ting compliance with the requirements set out in <u>point (a) of Article 10(3) of Directive (EU) 2016/798</u> and showing how those requirements are met inst <u>Annex I of CSM</u> on SMS and indication where, in the safety management system documentation, the applicable TSI OPE requirements are Show document descriptions
SM:	S Description		•
🛇 🍃 SM:	S Other Evidence		
🛇 🍃 SM:	S Description of changes		

Figure 137: Documentary evidence SMS part "Update or Renewal" type of application

Such action displays the Add file(s) page, shown in Figure 138: Add file(s) and allow the user to either select one or more files to upload from a specific folder on the user's system as shown in Figure 139: Choose file(s) or by drag and drop the file(s) in the "Drop your file(s) here" section. Please note that the system accepts as valid uploads the ones described in the File upload rules.

.dd file(s)					
File upload rules <ul> <li>Supported file extensions: msg, tiff, bmp, eml, gif, avi, pptx, mp4, bt, flv, pdf, ppt, doc, odp, xls, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>	mov, jpe	eg, jpg, ;	zip, xlsx, wmv, rar, rtf	, fodp, fods, png, f	odt, docx,
Drop your file(s) here or click the button to browse	OR	10	Choose file(s)		
File					
				Add file(s)	Cancel

Figure 138: Add file(s)

	noh (099)			<b>↓</b>
🜍 Open	dd file(s)		<b>X</b>	1
🕞 🕞 - 📙 « Downloads	s 🕨 VA Demo 👻 🖣	Search VA Dem	م ہ	
Organize - New folder			. 0	
★ Favorites ■ Desktop	Name	Date modified	Туре	g, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx,
🔲 Desktop	15-Safety Policy.docx	08/10/2018 00:48	Microsoft	a, jpg, zip, non, min, rai, ni, ioap, ioao, prig, ioar, acon,
🔰 Downloads	Dummy application file for VA presentati	04/07/2018 13:51	Foxit Phan	
laces 😓 Recent Places	Dipdated Draft Safety Culture Improveme		Foxit Phan	
Desktop Libraries Documents Music Pictures				E Choose file(s)
JUDE Videos				
VERGODOLILOS S	•			
File name	e: 📔 👻	All Files	-	
		Open 👻	Cancel	
				Add file(s) Cancel
Evidence related to un	e requirements capture and the applied mil	eniodology (10.1,	10.7 and 10.4	9

Figure 139: Choose file(s)

Add	file(s)
Fi	<ul> <li>ile upload rules</li> <li>Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xisx, wmv, rar, rtf, fodp, fods, png, fodt, docx, pptx, mp4, kt, ftv, pdf, ppt, doc, odp, xis, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>
Fi	iles uploaded successfully
	File
•	TXT lest.txt
	Close

Figure 140: Successful upload

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the message displayed in Figure 140: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 141: Uploaded files.

Docume	ntary e	vidence SMS part	
SMS	Evidence	s SMS Mapping Table TSI CPE Mapping Table	
Descrip Lof CS	tion of th M on SM	e Safely Management System and other documents demonstrating compliance with the requirements are net logent and an environment of the requirements are net logent with information crossreferencing the Safely Management System documentation, the applicable TSI OPE requirements are met.	e Safety Management System against <u>Annex</u> Show document descriptions
		\$ SMS Description	
		SMS Other Evidence	•
		B PDF test.pdf	📩 💋 📵
		B PPTX test sptx	📩 💋 🗎
		TXT testod	📩 💋 🗊
		SMS Description of changes	
Previo	us step		Save Save & next step 🤿

Figure 141: Uploaded files

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded files. If the user wants to edit the title and the description, selects the "Document info" button on the right and the system displays the below screen as shown in Figure 142:" Document info" button for editing.

Document information					
File	TXT test.txt				
Title		cart.			
Reference and description		8			
<ul> <li>Version history</li> </ul>					
		Close			

Figure 142:" Document info" button for editing

To move to the next step "Save & next step" is selected as shown in Figure 58: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 65: Previous step.

The applicant selects "Show document descriptions" button. The systems then, displays the details of the uploaded files (size, title, and reference-description).

SMS Evide	ence SMS Mapping Table TSI OPE Mapping Table	
	of the Safety Management System and other documents demonstrating compliance with the requirements set out in <u>contrained Article 10/31 of Directive (EU) 2016/789</u> and showing how those requirements are met together with information cros SMS and indication where, in the safety management system documentation, the applicable TSI OPE requirements are met.	sreferencing the Safety Management System against <u>An</u>
$\odot$	🚬 SMS Description	
$\odot$	sMS Other Evidence	
	PDF test.pdf	 🛓 💋 🗐
	[2] PDF test.pdf (583.34 KB) -	
	PPTX test.ppx	📩 💋 🗎
	PPTX test.pptx (1.07 MB) -	
	त्रि राग्र महाराग स्वरूप	± 💋 🛍
	C TXT est ha (46.00 bytes) -	_
0	SMS Description of changes	•
0	👺 SNS Description of changes	

*Figure 143: Documentary evidence – "Show document description radio button* 

In the "SMS Mapping Table" section of the wizard, the applicant is asked to insert more information about the uploaded files and to provide description of the safety management system and map them with relevant requirements.

Specifically, the user is required to provide relevant information e.g. the title of the document (name/version/date) or link to the uploaded document, the reference inside the document as shown in Figure 144: "SMS Mapping Tables" tab. The user may reference more than one file for each assessment aspect, by using the "+". It can be removed by using the "-". The documentary evidence-SMS Mapping table is a drop-down list that includes all the folders and added files in the previous tab.

SMS Evidence	e SMS Mapping Table TSI OPE Mapping Table				
Reference Number	Requirement (Headline of the requirement laid down in the relevant CSM)	Documentary evidence (Title of the document (name/version/date) or lin k to the uploaded document)	Reference and description (Reference inside the document and descriptio n)		
1.	CONTEXT OF THE ORGANISATION				
1.1	Organisation, context and scope of the safety management system				
1.1.1 👻	The organisation shall:				
(a)	describe the type extent and area of its operations;	•			
(b)	identify the serious risks for safety posed by its railway operations whether they are carried out by the organisation itself or by contractors under the control:	· · · · · · · · · · · · · · · · · · ·			

Figure 144: "SMS Mapping Tables" tab

#### 4.2.1.5 National Part

As above, in this step of the wizard, as shown in Figure 145: Documentary evidence, the applicant may provide the documentation.

The documentary evidence provides additional documents demonstrating how the relevant national rules are met and map them with these rules. The applicant can also upload and delete documents in the relevant folder "Evidence for National Part" by using the relevant buttons on the

right and also edit the title and the description of the uploaded files, on the tab "Documents (National part) following the same procedure as described in Documentary evidence.

Documentary evidence: National part	
Green	
Decuments (National part) Mapping table (EL)	
Import the evidence for the national part	
Description or othar demonstration of how the safety management system arrangements address the relevant national rules notified in accordance with Article 8 of Directive (EU) 2016/798, and information cross referencing the safety management system national rules.	
🛇 📚 Extérnos for National Part	Show document descriptions
C Previous step	🖺 Save Save & next step 🕤

Figure 145: Documentary evidence

Also, the user may select two methods on the "Mapping Table of NSA" tab: "Fill in the web form" and "Import Mapping Table file" as shown in Figure 146: Mapping Table (NSA).

[	Select Method Fill-in the web form Use the web form to fill in the Mapping Table	
	Documents (National part) Mapping table (EL) Select Method	

Figure 146: Mapping Table (NSA)

In the first option "Fill-in the web form", the user can use the web form to fill in the Mapping table and specifically, the user can add a reference to the applicable notified national safety rule, can add a headline of the requirement laid down in the applicable notified national safety rule, the title of the document with a name, version etc or link to the uploaded document, and finally can add a reference and a description inside the document as shown in Figure 147: Fill- in the web form screen.

Documentar	ry evidence: National part			
Greece				
Docume	ents (National part) Mapping table	(EL)		
Select M	lethod			
	Reference	Requirements	Documentary evidence	Reference and description
	(Reference to the applicable notified national safety rule)	(Headline of the requirement laid down in the applicable notified national safety rule)	(Title of the document (name/version/date) or link to the uploaded document)	(Reference inside the document and description)
			•	
				*
			•	
			•	
		+ Add requ	irement	

Figure 147: Fill- in the web form screen

The user may reference more than one file for each assessment aspect, by using the "+". It can be removed by using the "-". The documentary evidence is a drop-down list that includes all the folders and added files in the SMS evidence tab in this step.

In the second option "Import Mapping Table file", the applicant can upload the filled-in copy of his Mapping Table in the document format, in the folder "Mapping Table" as shown in Figure 148: Import Mapping Table file screen. The process for the uploading files is described in Documentary evidence.

Show document description

Figure 148: Import Mapping Table file screen

## 4.2.1.6 Other Administrative Documents

As above, in this step of the wizard, as shown in Figure 149: Other Administrative Documents, the applicant may provide other relevant documents for the application.

The applicant can also upload and documents in the relevant folders by using the relevant buttons on the right following the same procedure as describes in Documentary evidence. Also, the applicant can edit the title and the description of the uploaded files by using the button "Document info" on the right.

Hide progress bar	
Other administrative documents	
	Show document descriptions
Eugai Entry form     Erga Entry form     Erga Char documents	
🗢 📴 Other documents	0
Previous step	Save & next step 📀

Figure 149: Other Administrative Documents

## 4.2.1.7 Submit application

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 150: Review application.

Sign and submit the application					
* Doops of application					
Type of application	New single safely cartificate		Expected care of earling	87.04.2019	
		-	seniors/specifions		
Pre-engagement	No		Area of operation	Grania	
			tening authority	European Union Agency the Rathoops	
			Language	Relat	
Grazia					
Type of specifice requested (select area or more)	Parsenger transport (Excluding High-speed services)		Definition of the intended area of speculion		
	Freight barraport (Excluding Cangerman prode services)		Stationics) in neighbouring Member State(s)		
<ul> <li>Applicant's details</li> </ul>			(MARCA)		
Applicant's information Control per		-			
Lagat denomination:	leaf for user pille	]	Postal Code:	CODE	
Accesym		]	Country:	Australia	
Will manifest	NARER	1	Phone	phone	
	NAMER	1	Email	Sed are applicatifyinal con	
Street address:	178627	J	Fax		
CH/	anv	]	Trabalia		
			Other relevant information		
* Documentary evidence: 1861 part					
SWS Evidence SHE Mapping Table					
the colorest and added one	che cout probled rese				Show document descriptions
C B. Det Descriptor					
C Statione Labora					
* Documentary evidence National part					
Greece					
Decements (National part)	Wapping lafer (DL)				
Import the evidence for the	e national part				
Description or other demonstration of	free the safety management system prorigaments address the interact rations	e une collect a accordance with Article 1 of Stee	dive (EU) 2010/788, and information cross i	elements, the subly management system against the requirements and down in the	Interventi Autorial Islee.
				devercing the safely management system against the requirements test down in the	Show document descriptions
C St. Contence for State	and Part				
* Otter administrative documents					
					They document descriptions
C Barbart Collectore					
O By the sources					
• •••••					c

### Figure 150: Review application

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select "Previous step" as shown in Figure 135: "Previous step" button. To submit the application "Submit" as shown in Figure 151: Submit button.



After the submission, the system sends an Acknowledgement of receipt (PDF letter), which is stored in the "Formal communication" folder of the application Library as shown in Figure 152: Acknowledgment of receipt in application Library. This is a receipt that the submission is successful.

20190402-001 plicant: GUIDE   Submitted on : 02/04/2019 11:46 AM   (	Created by: era applicant 2 test   Modified on: 0	9/04/2019 03:55 PM   Application status: Comple	teness check		at Actions
Application Issues	Project team	Dashboard 4	Assessment	Library Even	
Current version     Export application				Show informative docum	Show document descriptions
Title		Created by	Created on	Last modified	
Application File					🐱 v1.0
💟 🔚 Assessment File					
Assessment reports					
🛇 🔚 Decision					
🛇 🛛 🛌 Issues log					
🛇 🛛 🛌 S-20190402-001-001					
Coordination process					
Second Communication					
Acknowledgment of Receipt.pdf		era applicant 2 test	02/04/2019	02/04/2019	*
🛇 🔚 Management					
Second Lessons Learned					
🛇 🍃 Other documents					•

Figure 152: Acknowledgment of receipt in application Library

After the submission, the Assessment process of the application will start. During this operation, the applicant will receive an "Acknowledgment of Completeness" (PDF letter), which indicates that the application file is completed as required and the assessment process has been started. The pdf letter mentioned above, is stored in the "Formal Communication" folder which is shown in Figure 153: Acknowledgment of Completeness in application Library.

190402-001 ant: GUIDE   Submitted	on : 02/04/2019 11:46 AM   Created by: e	ra applicant 2 test   Modified on:	09/04/2019 04:07 PM   Application status: Asses	sment		ag Acti
Application	Issues	Project team	Dashboard	Library	Event Log	
<ul> <li>Current version</li> </ul>	Export application				Show informative documen	ts Show document description
Title			Created by	Created on	Last modified	
Application	1 File					✓ v1.0
Applicat	ion Form					✓ v1.0
Evidence	e for SMS Part					✓ v1.0
🜔 📑 Evidenc	e for National Rules for MS					✓ v1.0
🜔 📑 Adminis	trative documents					✓ v1.0
🛇 🛌 Assessme	nt File					
🗢  🛌 Issues I	log					
💟 🛌 s-20	0190402-001-001					
🛇 🛌 Formal	Communication					
Ack	mowledgment of Completeness.pdf		era_pm test	09/04/2019	09/04/2019	*
Ack	mowledgment of Receipt.pdf		era applicant 2 test	02/04/2019	02/04/2019	*
🛇 🛌 Manage	ement					
Other docu	iments					

*Figure 153: Acknowledgment of Completeness in application Library* 

# 4.2.2 Pre engagement

This section explains how an applicant user of the system can create and prepare a SSC preengagement (PE) application file.

It is highly recommended that the applicant requests pre-engagement through the one-stop shop before submitting its application for a single safety certificate (new, update and renewal) in order to help understand what is expected and to mitigate at the earliest possible stage the risks of delays in issuing the single safety certificate which could impair business continuity. The pre-engagement is aimed at:

- Facilitating early contact;
- Developing the relationship between assessor(s) and applicant;
- Gaining familiarity with applicant's safety management system; and
- Verifying that the applicant has been provided with sufficient information to know what is expected, the way the assessment process will be conducted and how decisions will be made.

The pre-engagement stage is not mandatory for the applicant but is recommended as it mitigates potential risks at the assessment stage and facilitates the assessment process itself. If he wishes, the applicant can still submit his application for a single safety certificate without pre-engagement. However, if the applicant requests a pre-engagement, the different authorities for the area of operation are required to participate.

The application file is the same as in the formal SSC process, but it is not mandatory to submit the Documentation and the Mapping Tables in SSC pre-engagement (PE).

In order to create a SSC pre-engagement (PE), the applicant should select the request preengagement option (second option) in Figure 113: Create Certificate application.

# 4.3 Trackside Approval projects (TA)

## 4.3.1 Request for ERTMS trackside approval

# 4.3.1.1 Create a new application

This section explains how an applicant user of the system can create and prepare an ERTMS Trackside Approvals application file.

Only applicant users can create applications. In the "Main Page-Applications list", select "New" as shown in Figure 154: Create request for ERTMS trackside approval - "New" button.

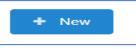


Figure 154: Create request for ERTMS trackside approval - "New" button

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 155: Progress bar of a TA application. By selecting "Hide progress bar" the wizard is hidden.

			4
SCOPE OF APPLICATION Define the project, identify Applicant's details and the contact details	APPLICATION FILE DOCUMENTATION Provide documents	MAPPING TABLES Provide the references to the documentation	SUBMIT REQUEST
	~	Hide progress bar	

Figure 155: Progress bar of a TA application

The colour of the progress bar per step indicates if the application is incomplete when there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (\*) in their label as shown in Figure 156: Mandatory fields.

Legal denomination : *	
Figure	156: Mandatory fields

In addition, for every field a tooltip is displayed, with relevant as shown in Figure 157: Tooltip information.

Lega deno	ll mination: *	
	gal denomination of the ity, as registered	,

Figure 157: Tooltip information

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 158: Alerts and fields in error.

Postal Code: 🛦 🔹
Figure 158: Alerts and fields in error

When a user will select to "Submit" the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 159: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

	pplication errors found	
Please check the following errors; navigate to their respective Steps to verify and re-submit your applic ation		
📽 s	COPE OF APPLICATION	
	National registration number	
•	Address	
	Street address	
	• City	
	Postal Code	
	• Email	
•	Contact person's information	
	Street address	
	• City	
	Postal Code	
	Country	
	Phone	

Figure 159: Error message validating the submission of an application

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 160: Applications list with a draft application, by clicking the "View" button.

Showing 1 -	10 of 40 applications			
^	APPLICANT	APPLICATION SUBMISSION	STATUS	MODIFIED
VIEW	test for user guide		Draft	29/03/2019

Figure 160: Applications list with a draft application

The Applicant follows the below steps to create an application:

- Scope of Application
- Application File Documentation
- Mapping Tables
- Submit Request

## 4.3.1.2 Scope of application

In this first step of the wizard as shown in Figure 161: Scope of application, the Applicant defines the project, identify the Scope of application and specifically, fills the form of the applicant's information, contact person's information and complete the authorisation case information including the concerned Member State(s).

Scope of application				
Applicant's information				
Legal denomination : *		Phone : *		
Acronym :		Email : •		
Street address : *		Fax:		
City: •		Website :		
Postal code : *		Other relevant Information :		
Country : *				
Contact person's information				
First name : •	Spilios	Postal code : •	123456	
Last name : •	Gmail	City: •	Some city	
Job title :		Country : *	Åland Islands V	
Language(s) spoken : *	English × French × Greek ×	Phone : *	123456789	
Street address : *	Nice street	Email : •	spiliosv@gmail.com	
		Fax:		
Authorisation case				
Is an authorisation already granted for the application or part of it?: •	🔿 Yes 🔘 No			
Is there an approval to be considered for the application or part of it?: •	⊖ Yes ⊖ No			
is there an initial engagement?: •	🔿 Yes 🔿 No			
+ Member state(s)				
Project name: *				

## Figure 161: Scope of application

The Applicant must provide the Applicant's information and address details as shown in Figure 161: Scope of application. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (\*).

In the Authorisation case part, the user is asked to select "Yes" or "No" in three cases, as shown in Figure 162: Authorisation case information.

Authorisation case	
Is an authorisation already granted for the application or part of it?: *	🔾 Yes 🚫 No
Is there an approval to be considered for the application or part of it?: *	🔿 Yes 🚫 No
Is there an initial engagement?: *	🔾 Yes 🚫 No

Figure 162: Authorisation case information

The applicant selects at least one country by using the "Add/Remove Member state" button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 163: Member State(s) selection.

	Austria (AT)	Germany (DE)		Poland (PL)
	Belgium (BE)	Greece (EL)		Portugal (PT)
	Bulgaria (BG)	Hungary (HU)		Romania (RO)
	Channel Tunnel (CT)	Ireland (IE)		Slovakia (SK)
	Croatia (HR)	Italy (IT)		Slovenia (SI)
	Czech Republic (CZ)	Latvia (LV)		Spain (ES)
	Denmark (DK)	Lithuania (LT)		Sweden (SE)
	Estonia (EE)	Luxembourg (LU)		Switzerland (CH)
+	Finland (FI)	Netherlands (NL)	513	United Kingdom (UK)
	France (FR)	Norway (NO)		Whole EU (EU)

Figure 163: Member State(s) selection

The user must also provide the name of the project as shown in Figure 164: Project name.

Project name: *	
	Einung 101. Designt annag

Figure 164: Project name

To save and move to the next step of the application file wizard, the applicant may select "Save and next step" button, shown in Figure 165: Save and next step.



Figure 165: Save and next step

To stop editing the application and go to the main menu "Exit" button is selected, shown in Figure 166: Discard Application-Exit button.



Figure 166: Discard Application-Exit button

To save the application, the applicant clicks on the "Save" button.



Figure 167: "Save "button

If there is unsaved information a warning message is displayed to the user about loss of unsaved information.

Confirm	
You are about to lose your unsaved changes! Do you want to continue?	
	Yes No

Figure 168: Warning message about unsaved information loss

### 4.3.1.3 Application File Documentation

In this second step of the wizard as shown in Figure 169: Application Documentation, the Applicant must provide the application file documentation. The applicant can upload any document needed for the application by selecting the "+" button in the relevant folder. The Application File Documentation provides description of the system and other relevant documents.

Application Documentation	
Please upload here the documentary evidence supporting your application	Show document descriptions
Occumentation	
G Previous step	Save & next step

Figure 169: Application Documentation

Such action displays the Add file(s) page, shown in Figure 170: Add file(s), and allow the user to either select one or more files to upload from a specific folder on the user's system as shown in Figure 171: Choose file(s) or by drag and drop the file(s) in the "Drop your file(s) here" section. Please note that the system accepts as valid uploads the ones described in the File upload rules.

File upload rules					
<ul> <li>Supported file extensions: msg, tiff, bmp, eml, gif, pptx, mp4, txt, flv, pdf, ppt, doc, odp, xls, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>		eg, jpg, ;	zip, xlsx, wmv, rar, rtf,	fodp, fods, png, fod	it, docx,
	1				
	OR	5	Choose file(s)		
Drop your file(s) here or click the button to browse					
File					

Figure 170: Add file(s)

	Shop (000)			
WAYS				
open 😳	Add file(s)		×	
🕞 🕘 - 🗼 « Down	oads 🕨 VA Demo	Search VA Demo	Q	
Organize - New fo	lder		0	
☆ Favorites	Name	Date modified	Туре	g, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx,
Desktop	15-Safety Policy.docx	08/10/2018 00:48	Microsoft	9, 1-9,
🔰 🐌 Downloads	Dummy application file for VA presentat	i 04/07/2018 13:51	Foxit Phar	
Secent Places	9 Updated Draft Safety Culture Improvement	e 11/01/2019 18:19	Foxit Phar	
Desktop     Desktop     Desktop     Destrop     D	• • • •		• ncel	E Choose file(s)
				Add file(s) Cancel
Evidence related		memocology (10.1, 1		

Figure 171: Choose file(s)

Fi	ile upload rules
	<ul> <li>Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx, pptx, mp4, tot, flv, pdf, ppt, doc, odp, xls, odt, ods.</li> <li>Maximum file size 2048MB</li> </ul>
Fi	les uploaded successfully
Fi	les uploaded successfully File

Figure 172: Successful upload

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the messaged displayed in Figure 172: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 173: Uploaded file(s).

Application Documentation	
Please upload here the documentary evidence supporting your application	Show document descriptions
Cocurrentation	
O Previous step	Save & next step

Figure 173: Uploaded file(s)

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file by clicking on "Document info" button. The system displays the screen below for editing and allows the user to edit specifically the title and the description of the uploaded file, as shown in Figure 174: Document info- "Edit" button.

ocument inform	ation	
File	TXT test.txt	
Title		1
Reference and description		1
<ul> <li>Version history</li> </ul>		
		Close

Figure 174: Document info- "Edit" button

To move to the next step "Save & next step" is selected as shown in Figure 165: Save and next step. In addition, the system allows the user to visit the previous step of the wizard by selecting "Previous step" button, shown in Figure 175: Previous step.



When the applicant selects "Show document descriptions" button, the system then displays the details of the uploaded files (size, title, and reference-description) as shown in Figure 176: Show document descriptions radio button.

Application Documentation	
Please upload here the documentary evidence supporting your application	Show document descriptions
🛇 📂 Documentation	
TXT test.txt	📩 💋 💼
TXT test txt (46.00 bytes) -	
Previous step	Save & next step 😔

Figure 176: Show document descriptions radio button

#### 4.3.1.4 Mapping Tables

In the Mapping Tables step of the wizard, the applicant is asked to reference the provided documentation in the previous step for each item of the application file, as defined in the Application guide for the ERTMS trackside approval, as shown in Figure 177: Mapping Tables.

	Application file items	Documentary evidence (Link to the uploaded document)	Reference and description (Reference inside the document and description)	Comments (Other information about the evidence and/or the reference)
1	Draft tender specifications or the description of the envisaged technical solution.		•	
2	Documentary evidence of the conditions necessary for technical and operational compatibility of the subsystem with the vehicles intended to operate on the relevant network.		•	

Figure 177: Mapping Tables

For each application file item, the user has to provide a clear reference of the relevant part from the documentary evidence covering the item and can provide any additional relevant information in the comments field, as shown in Figure 177: Mapping Tables. The user may reference more than one file for each application file item, by using the "+". It is possible to remove it by using the "-". The documentary evidence is a drop-down list that includes all the added files in the previous Application File Documentation step.

When the user has finished, he/she can use any of the "Save", "Save and Next" or "Previous" buttons.

To move to the next step "Save & next step" is selected as shown in Figure 165, the form is saved. In addition, the system allows the user to access the previous step of the wizard by selecting "Previous step" button, shown in Figure 175: Previous step.

#### 4.3.1.5 Sign & Submit application

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 178: Review application.

Appendential       Appendential	Bign and submit the a	polication				
Normal Action of the second	* Scope of application					
Normal Arrow and and a strain and a str	Applicant's intern	abon Contact paraon's inform	ration Authorization case			
Normal Arrow and and a strain and a str	Legal denomina	ion :		Phone :		
Note Note   Note Note   Note Note   Note Note        Note Note						
Image: set in the set i						
Interpretent         Interpretent           Interpretent         Interpretent         Interpretent           Interpretent         Interpretent         Interpretent         Interpretent           Interpretent         Interpretent         Interpretent         Interpretent         Interpretent           Interpretent         <	Street address i			Ter		
INTERPORTANT SUBJECT SUBJEC	City:			Wester		
Note         Note <th< th=""><th>Postal code :</th><th></th><th></th><th>Other relevant int</th><th>venalion :</th><th></th></th<>	Postal code :			Other relevant int	venalion :	
Note         Note <th< th=""><th>Country :</th><th></th><th></th><th></th><th></th><th></th></th<>	Country :					
INTERPORTATION DISTRICT COLSPANE COLSPAN						
Image: Second	* Application file docum	entation				
Virtual state       Virtual state<						Show document descriptions
Note of the state of the s	C 80 000	mentation				
Answer       Image: State of the state of t	* Mepping tables					
Answer       Image: State of the state of t		Application his dema	Documentary evidence	Reference and description Reference leads the document and description	Comments Provide the sector sector the selectors	
Image: Second						
Image: Second		Draft lender specifications or the description of the environment technical anti-tion				
Image: Second				1		11
Image: Second		Documentary evidence of the conditions necessary for				
Image: Second	2	technical and operational compatibility of the aubayatem with the vehicles intended to				
Image: Second		operate on the relevant network.		h.		11
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Name         And Ageneric         In						
	94	Previous approval(x) Identification				
				1		11

Figure 178: Review application

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select "Previous step" as shown in Figure 135: "Previous step" button. To submit the application selects "Submit" as shown in Figure 151: Submit button.

After the submission, the system sends an Acknowledgement of receipt (PDF letter), which is stored in the "Formal communication" folder of the application Library as shown in Figure 152: Acknowledgment of receipt in application Library. This confirms that the submission is successful.

#### 5 Communication between applicant and assessment team – Management of issues

Issues is the main tool used by the assessment team Project Manager (PM), Assessor (AS), Assuror (AR), Decision Maker (DM) and the applicants to communicate during the assessment process of a case. Issues are created:

- 1. By the assessment team to raise a problem during the assessment process, asking the applicant to provide evidence for resolving it,
- 2. By the applicant to communicate with the assessment team

3. By the assessment team and addressed to the assessment team, e.g. to communicate differences of opinions or disagreements.

When an issue is created either by the applicant or by an assessment team member and targeting the applicant then a notification is sent as shown in Figure 179: Issue notification.

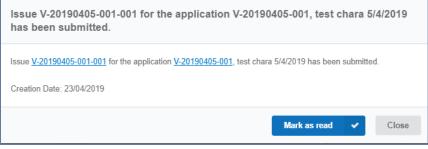


Figure 179: Issue notification

In a similar manner the system will sent a notification if there has been an update to this issue.

### 5.1 Create issue as applicant

After the submission of an application, the applicant can raise an issue and address it to the Project Manager (PM) in order to ask a question about the assessment of the application file or to request the update of the application file.

The applicant navigates in the selected application, clicks on "View button" and after clicks on "Create issue" button as shown in Figure 180: Create Issue button. This button is available in the "Application issues" menu. The system displays the Issue's screen as shown in Figure 181: Create issue form and provides the mandatory information, the issue title, the description for the issue etc. Finally, if he wants to save the information, he/she selects to "Save" or selects the "Save and Exit" button. Then the status of the issue is draft. In order to submit the issue, the applicant selects the "Submit" button and the status of the issue is pending. Only, after the submission of the issue, it is visible to the Project Manager (PM).



Figure 180: Create Issue button

Application ID: V-20190626-003			
			Â
* Basic Information			
Issue title 🛦 📩			
Description 🛦 *			
			4
Attachments	% Attach files		
			=
▶ Detaïs			
			-
		🤝 Submit 🔯 Save & exit	Exit

Figure 181: Create issue form

The applicant can only view the issues he created or issues that are assigned to him. An issue that is created by the applicant can be initially assigned only to the Project Manager (PM).

## 5.2 Respond/Reply to an issue

When problems or unclear points are identified during the assessment process by the assessment team (i.e. Project Manager, Assessors), issues are created and assigned to the Applicant. In that case the Applicant is able to respond to the issue by adding comments, as shown in Figure 182: Add comment (I) and Figure 183: Add comment (II). The steps to add a comment are:

- 1. Select the button "Comment";
- 2. Insert information in the comment textbox;
- 3. Select the "Add comment" button";
- 4. Select "Save" (or "Save and exit").

Application ID: V-20190704-001	
* Comments	
Comments Event Log	
© Comment 1	
* Resolution	
Resolution -	
Resolution description	1
Repetit issue modulion	
✓ Save 🕫 Save & cait Exit	

Figure 182: Add comment (I)

Application ID: V-20190704-001				
Comments     Comments     Event Log				
This is a comment 2				
Attach files	,			
Attachments (0)  Attachments  Cancel				
	-			
		4 🗸 Save	🖹 Save & exit	Exit

Figure 183: Add comment (II)

## 5.3 Respond to an issue that requires the update of the application file

The system allows the update of an application by the applicant only in response to an issue that was raised by a member of the assessment team and includes references to the application as shown in Figure 184: Issue containing application references. The update of the application file will

be done by the Applicant in a similar manner as in the creation of the application, by updating the application file web forms.

<ul> <li>References to application file</li> </ul>		
Reference 1	appinfo	-
Select reference(s)		lii.

*Figure 184: Issue containing application references* 

So when an issue includes requirements references, it indicates that the assessment team requires the update of the contents of the submitted application. The applicant first needs to understand the changes required in the application by reading the description and the comments on each included reference. The applicant should then navigate to the application and identify the changes required. The applicant should then:

1. Make all necessary changes, either updating a selected field or set of fields, upload new versions or new files if required. The option "Save" at the bottom of the page can be selected, if works needs to be continued at a later time.



Figure 185: "Save" button

2. When all updates are finalised the option "Submit" at the bottom of the application page must be selected, in order to publish our changes.



3. Finally, the applicant should provide a comment in the issue, informing of the updates and/or request the resolution of the issue (see paragraph below).

## 5.4 Request issue resolution

When the applicant selects request the resolution of an issue, it means the upmost has been done to address the issue and it is expected that the issue is now resolved and closed by the assessment team. The applicant selects to save and to submit again the application and clicks again on "View" tab of the issue in order to select the "Request issue resolution" button as shown in Figure 187: Request issue resolution button. Then the status of the issue is changed to responded (pending=responded).



Figure 187: Request issue resolution button

## 5.5 Delete a draft issue

The creator/owner of an issue can delete an issue remaining in draft status, as shown in Figure 188: Delete a draft issue.

^	APPLICATION ISSUE	CREATOR	ASSIGNEE	STATUS	CREATED	DELETE
	V-20200810-002-001	Spilios Gmail	ERA PM	Draft	13/08/2020	Delete

