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User guide for applicants

One Stop Shop [ERA-DRO-010]

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Date			
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Document History

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1.00	08/07/2019	Update to align with system release v1.00
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1.21	17/12/2020	Updated password policy

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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: **Vehicle Authorisations (VA).**

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

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

The OSS is accessible on this url: **https://oss.era.europa.eu**

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.

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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".

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.

Figure 2: Create your One-Stop Shop account

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

> *IMPORTANT! 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.

Figure 5: Setting a password

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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
  - 1 lowercase
  - 1 digit (0 to 9)
  - 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.

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.

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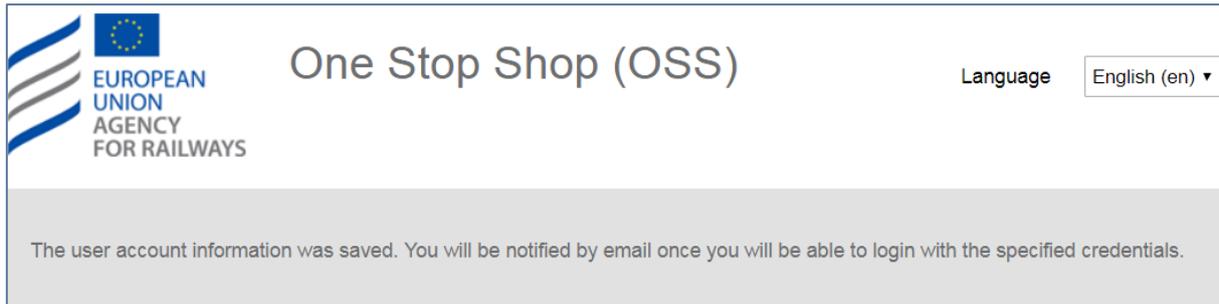
Figure 7: Successful setting of a password

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.
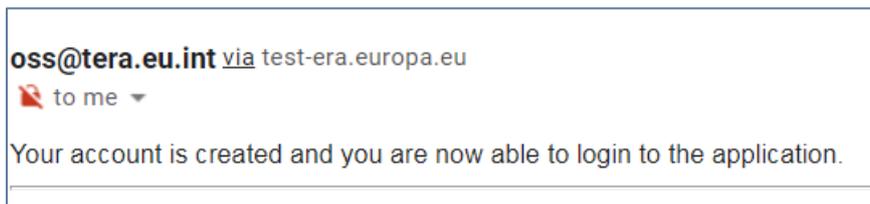
Figure 8: Acknowledgment of user creation

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.

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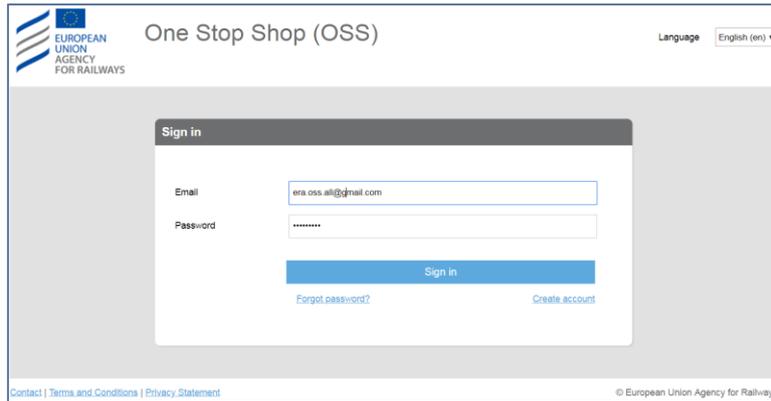
Figure 9: Sign in

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".
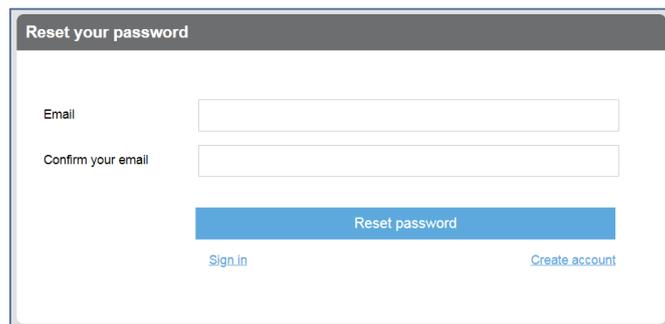
Figure 10: Reset your password

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

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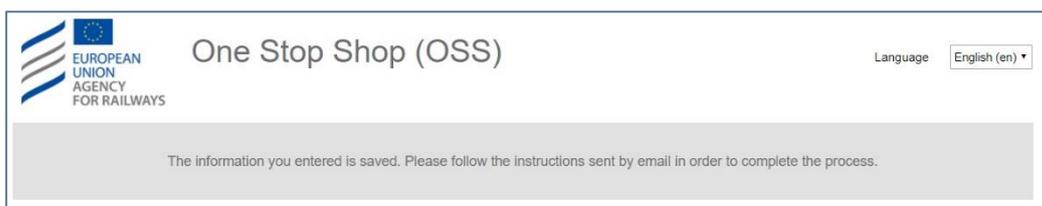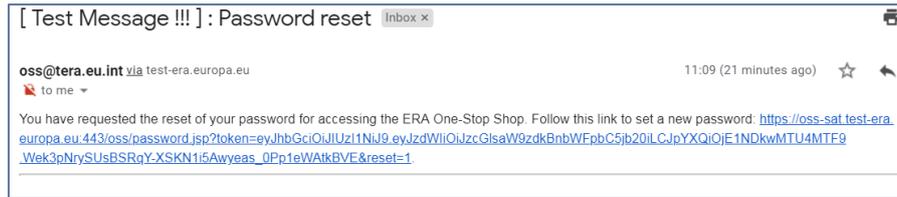
Figure 12: Password change email

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.
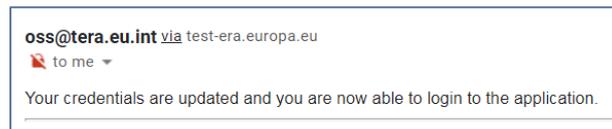
Figure 13: Password change confirmation

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.
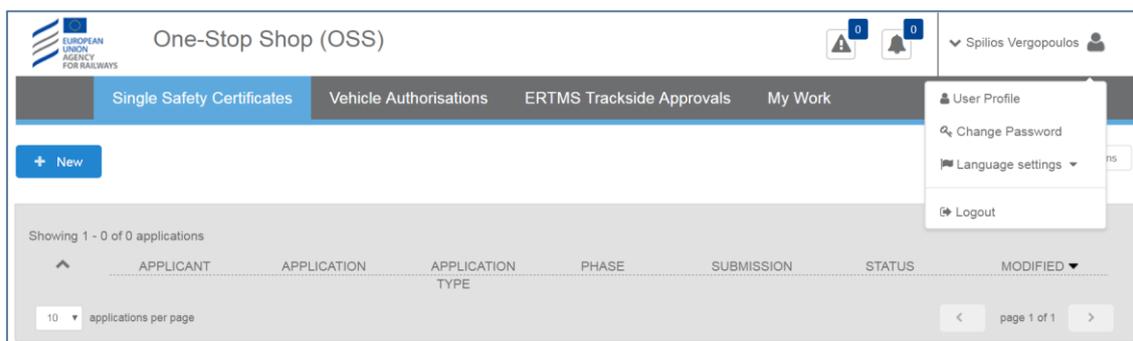
Figure 14: Menus and user actions

- 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.

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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.

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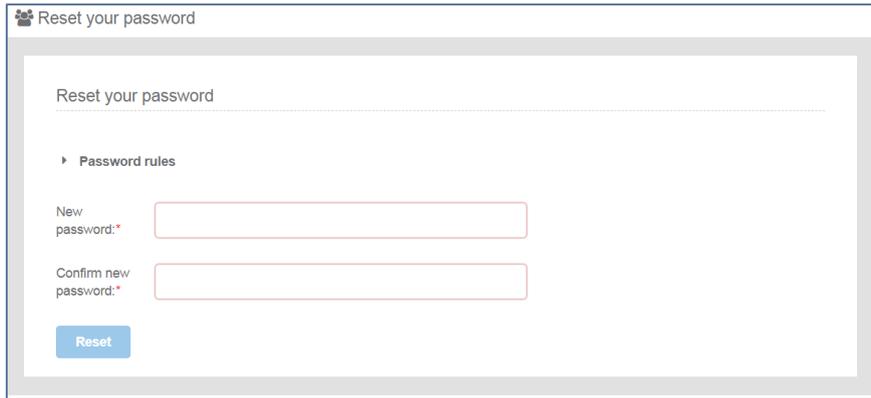
Figure 16: Change Password
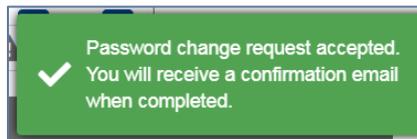
Figure 17: Change Password notification

2.4.3 Language selection

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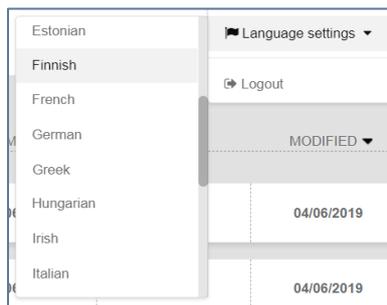
Figure 18: Language selection

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.

Figure 19: Issues button

2.5.2 Notifications

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

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Figure 20: Notifications button

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.
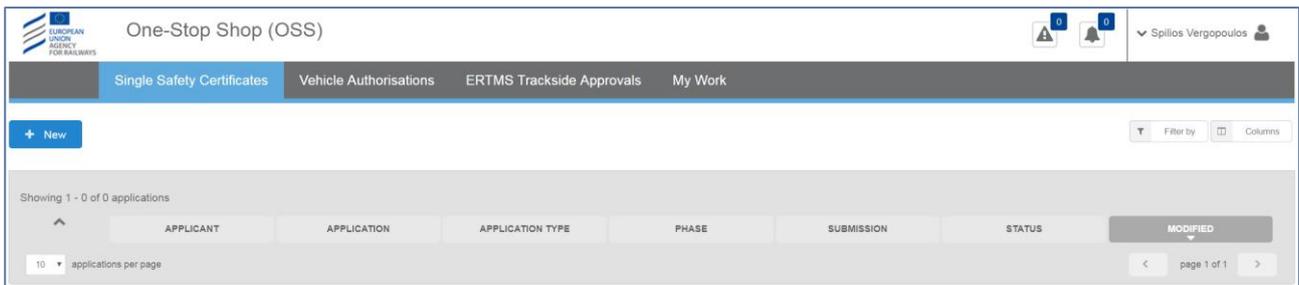
Figure 21: Main page – List of applications

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.

Figure 22: Paging
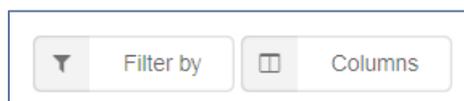
Figure 23: Filtering and Column selection

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;

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- ▪ "**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.
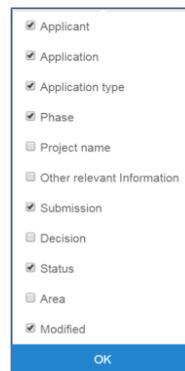
Figure 24: VA Application List columns

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.
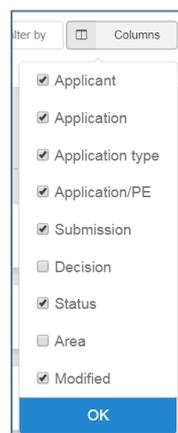
Figure 25: SSC Application List columns

2.6.1.3 ERTMS Trackside Approvals

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

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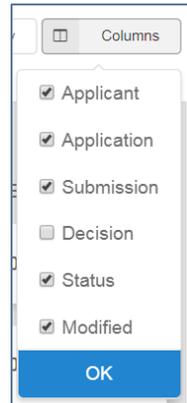
Figure 26: TA Application List Columns

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.

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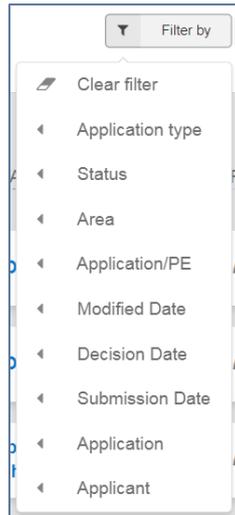
Figure 27 Vehicle Authorisations Filtering options

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.
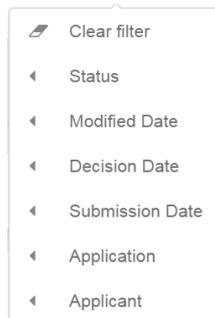
Figure 28 TA Filtering options

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.

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.

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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.

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.
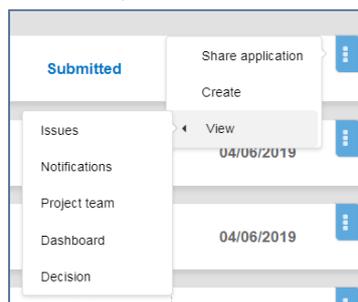
Figure 32: Context menu options

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.
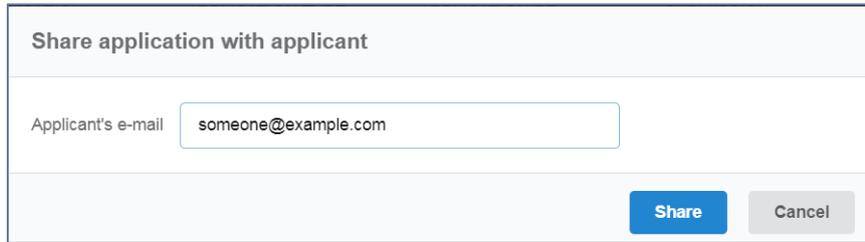
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Figure 33: Share application – Applicant's details

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

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.

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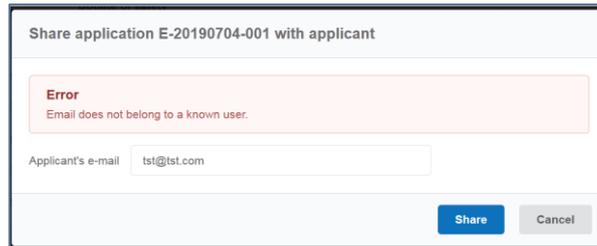
Figure 35: Share application error

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:
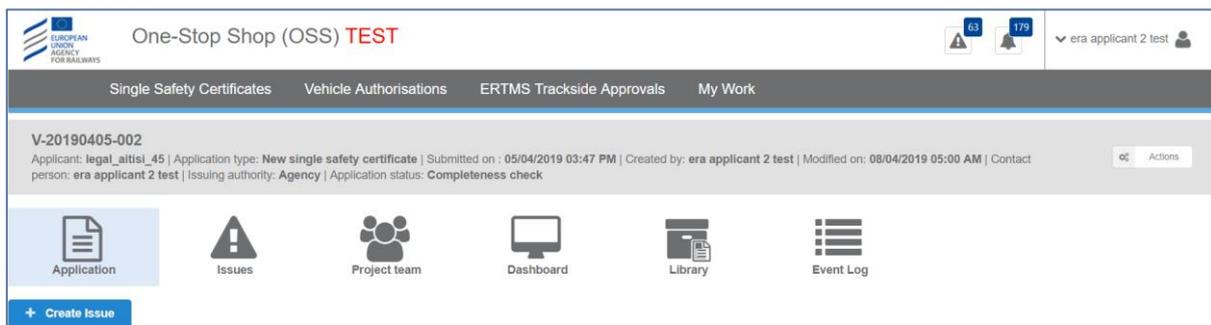
Figure 36: Details of an application

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.

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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.

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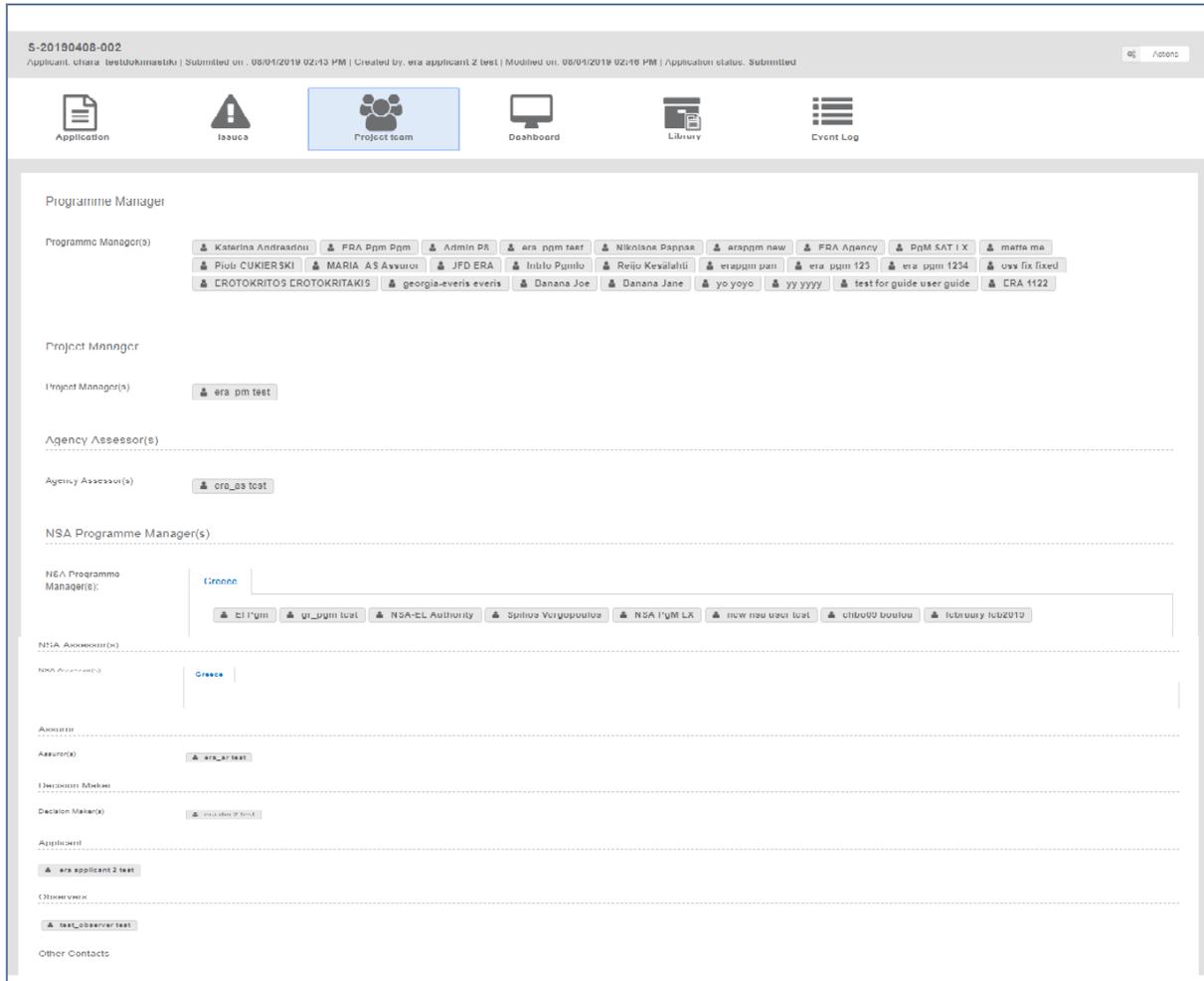
Figure 38:" Project team" tab in read only mode by the applicant

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.

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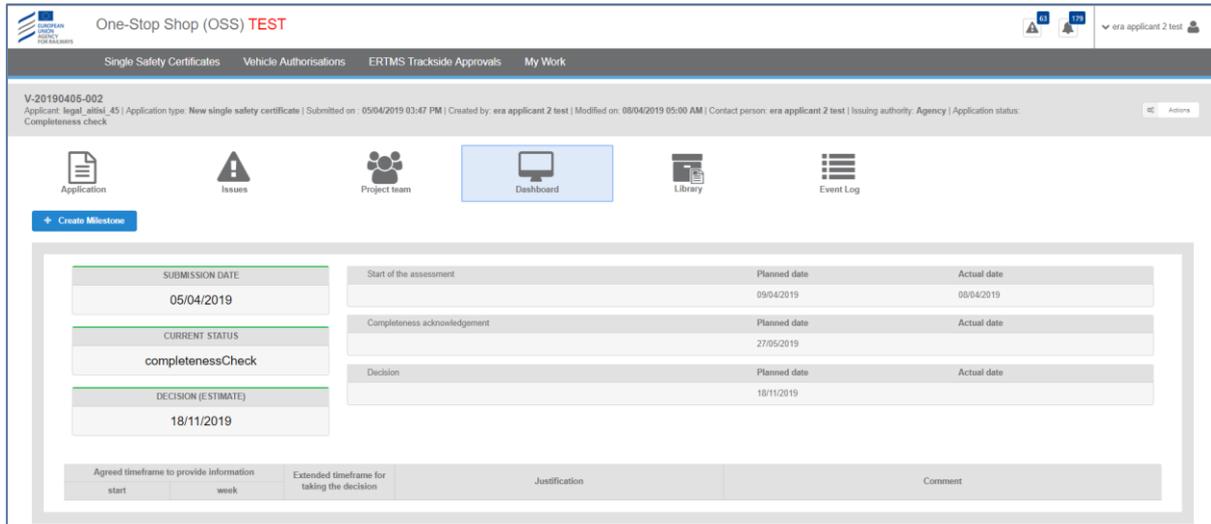
Figure 39: Dashboard screen

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).
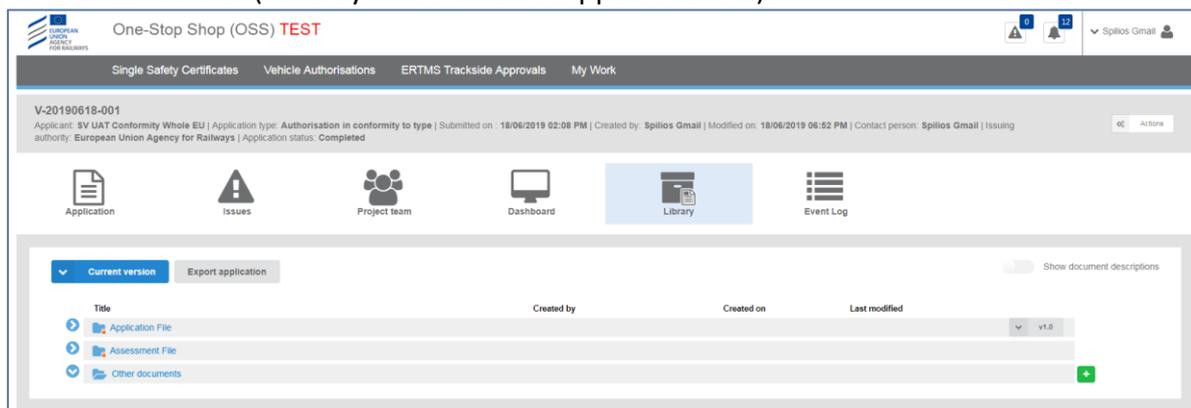
Figure 40: Library

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.

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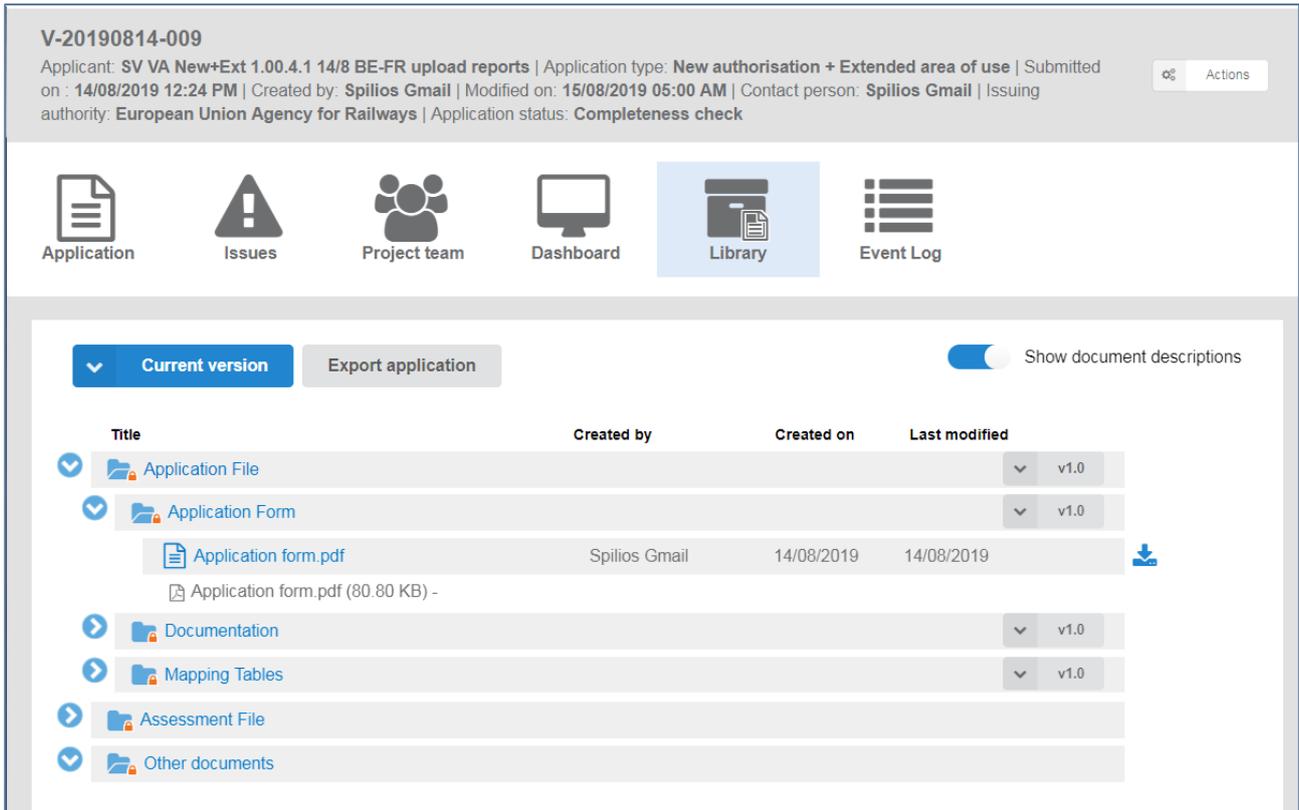
Figure 41: "Show document descriptions" radio button

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.
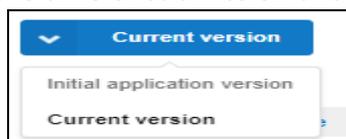
Figure 44: "Current version" button

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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.
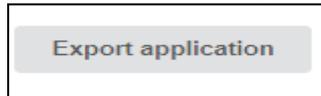
Figure 45: "Export application" button

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

Figure 46: Main screen of event log

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.

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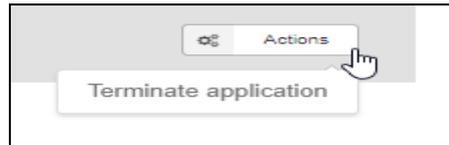
Figure 47: Actions button- Terminate application

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.
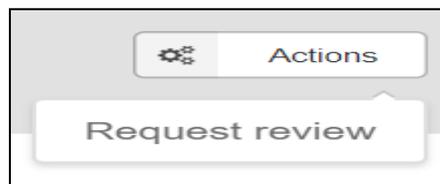
Figure 48: Actions button- Request Review

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.
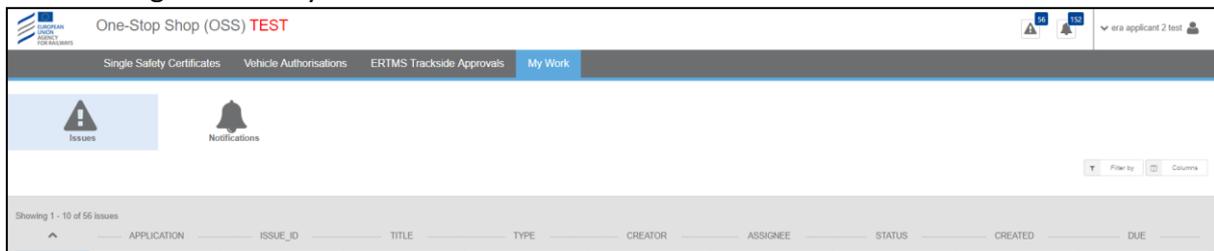
Figure 49: "My Work" screen

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:

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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 V-20190405-002 for New authorisation, has been submitted on behalf of legal_aitisi_45. Acknowledgment of Receipt

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

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- ▪ 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: Vehicle Authorisations (VA).

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.
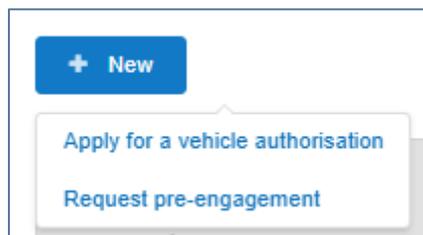
Figure 51: Create Vehicle Authorisation application

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.
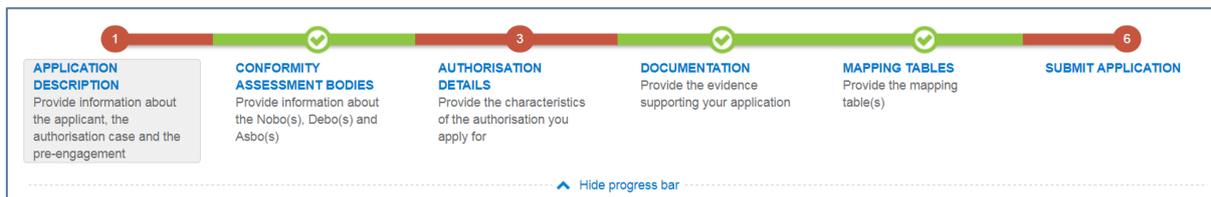
Figure 52: Progress bar of a Vehicle Authorisation

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.

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.

Figure 54: Tooltip information

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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.

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.

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.

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 [Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process](.).

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.

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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.

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.

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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.

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.

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

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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.
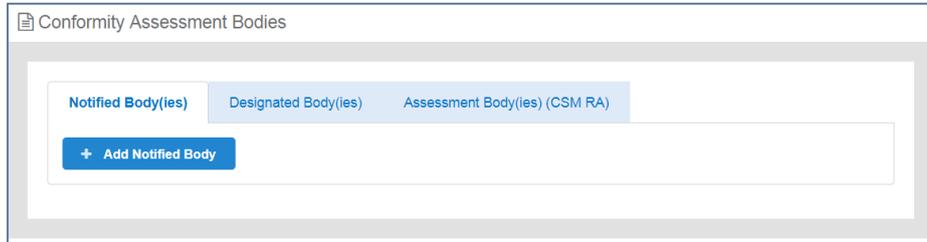
Figure 66: Conformity Assessment Bodies

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.

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

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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.

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.
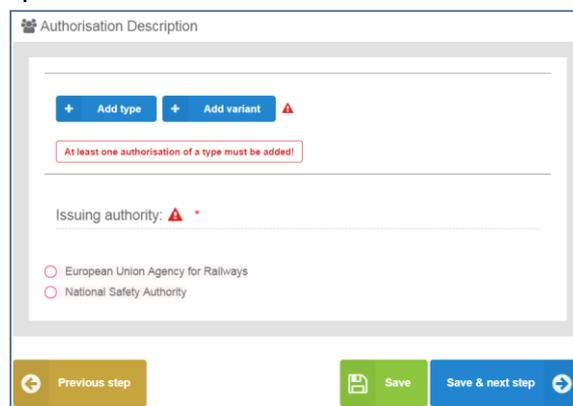
Figure 70: Authorisation Details step overview

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.

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

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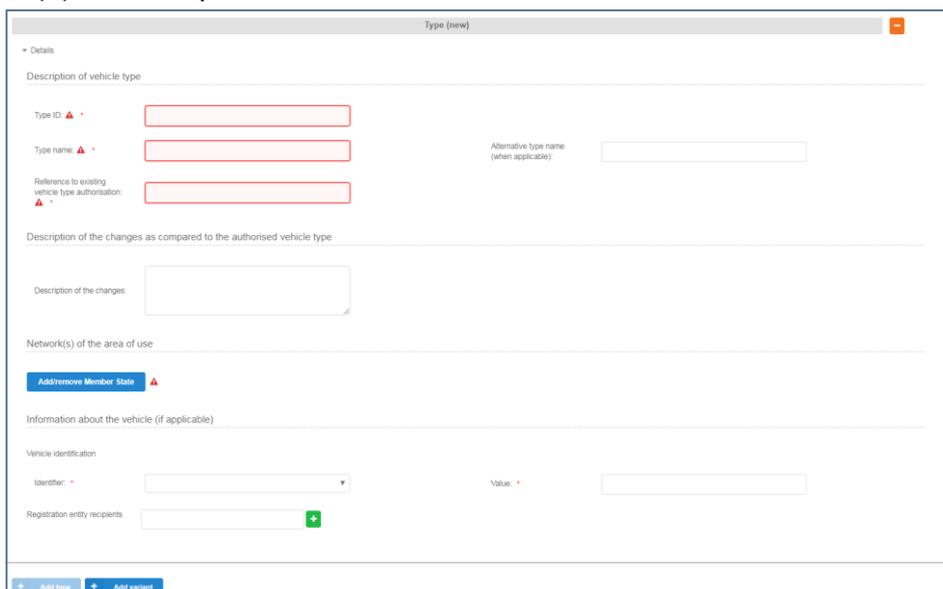
The applicant selects to fill-in the fields for Description of vehicle type/variant as can be found in the ERATV register and select at least one country by using the "Add/Remove Member state" button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 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.

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.

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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.

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).

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Figure 76: Authorisation Details - Authorisation in conformity to type

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.

Figure 78: Issuing Authority

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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 (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).

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

Figure 80: Add file(s)

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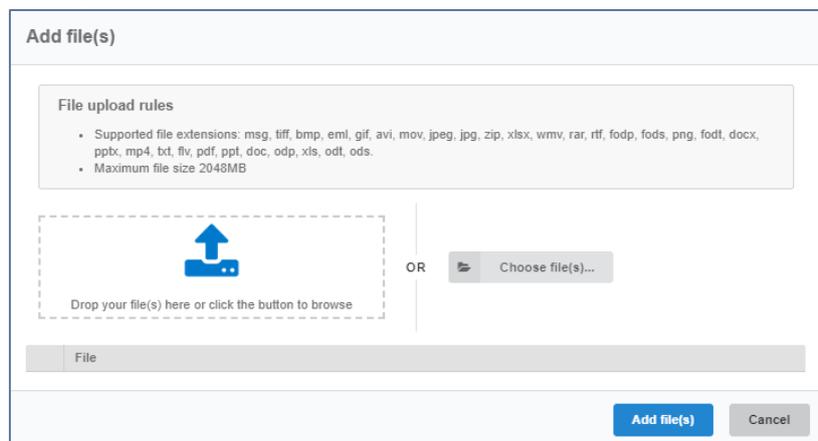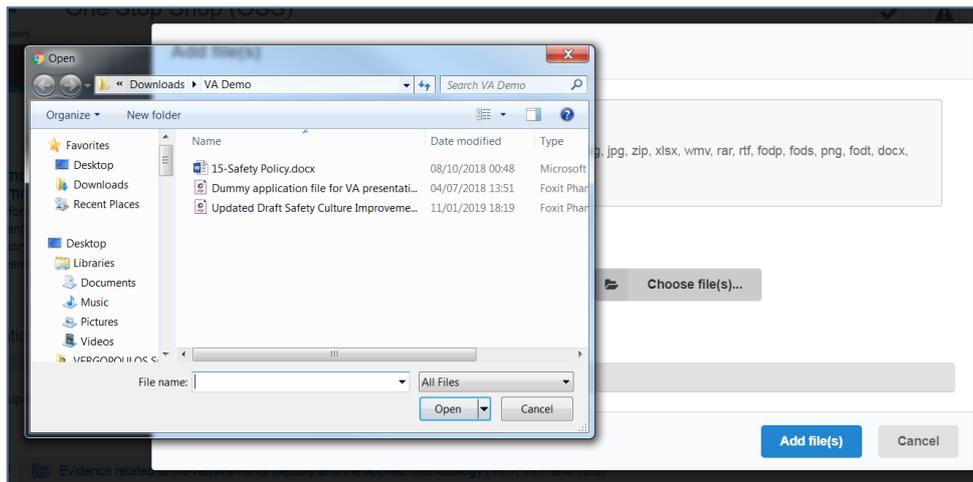
Figure 81: Choose file(s)

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.
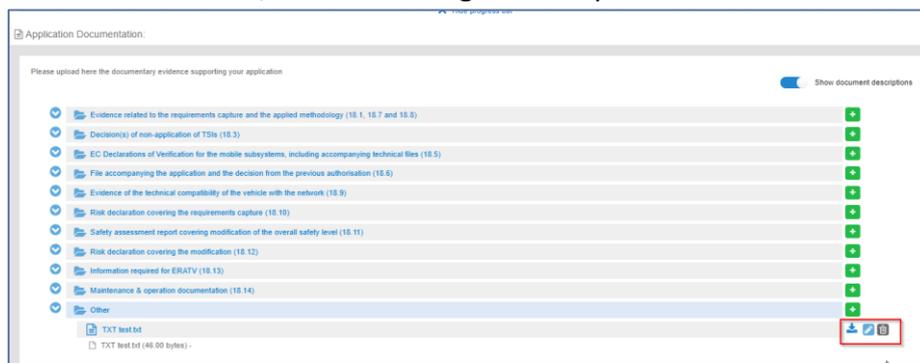
Figure 83: Uploaded file

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.

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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 (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).
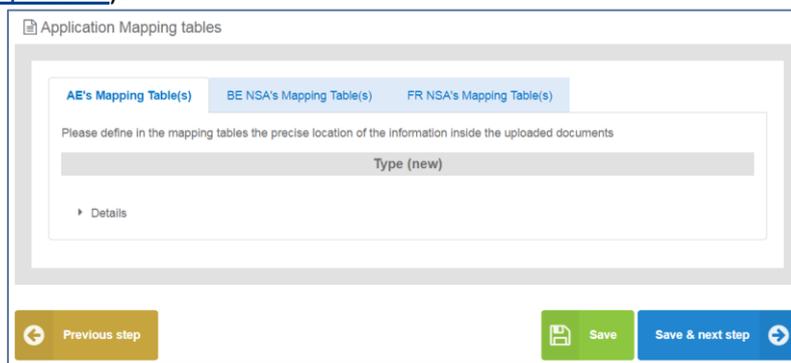
Figure 84: Mapping Tables wizard step

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.

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.

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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 pre-engagement 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: ***Vehicle Authorisations (VA).***

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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 pre-engagement application.
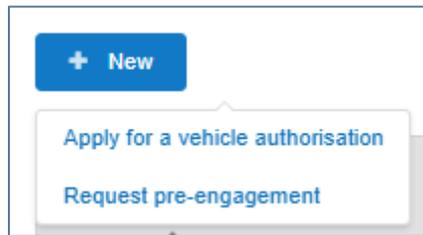
Figure 87: Create Vehicle Authorisation pre-engagement application

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.
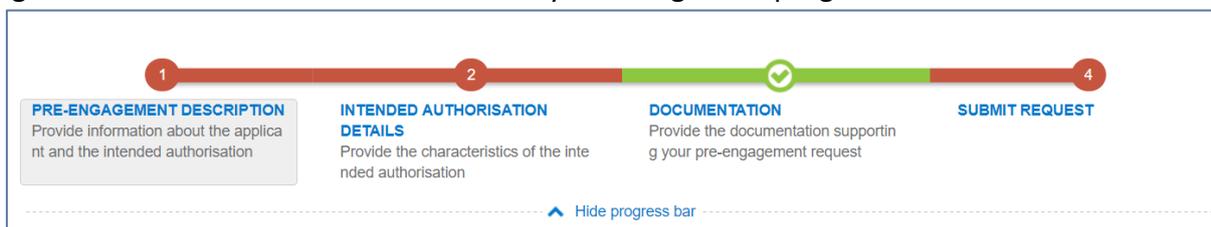
Figure 88: Progress bar of a Vehicle Authorisation PE

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.

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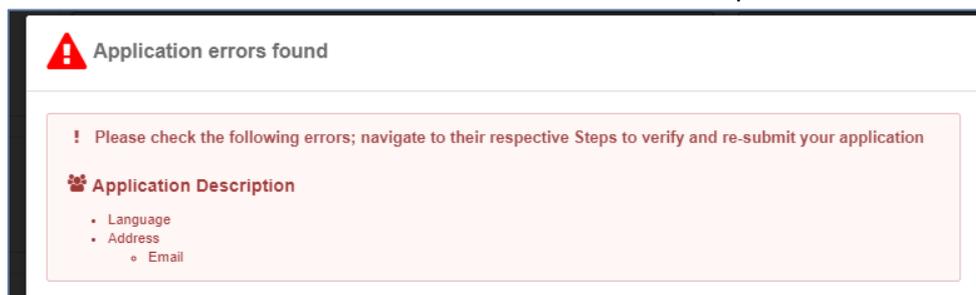
Figure 89: Error message validating the submission of an application

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.

	APPLICANT	APPLICATION	APPLICATION TYPE	APPLICATION/PE	SUBMISSION	STATUS	MODIFIED ▼	
VIEW				Pre-engagement		Draft	01/04/2019	

Showing 1 - 10 of 38 applications

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 (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 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.

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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.
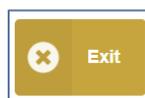
Figure 93: Discard Application-Exit button

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

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.
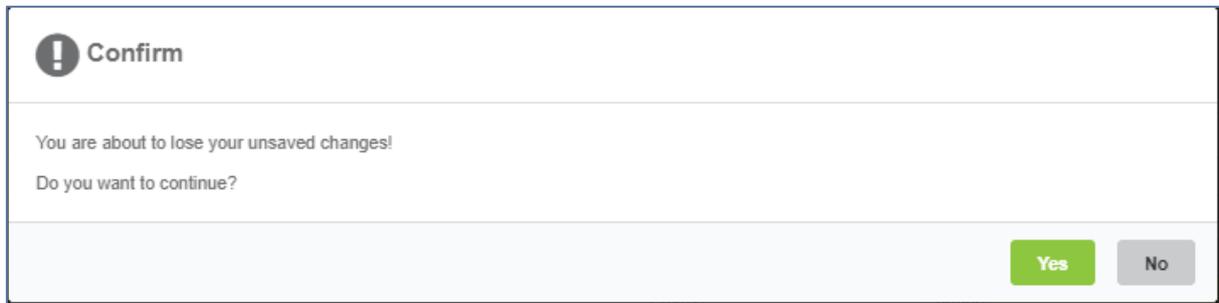
Figure 95: Warning message about unsaved information loss

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.
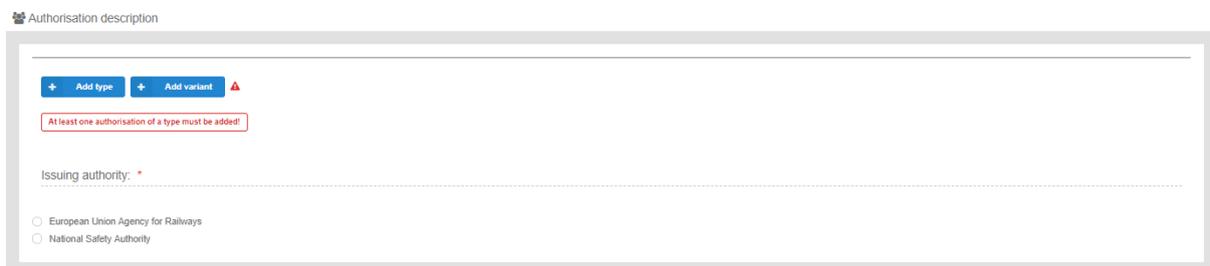
Figure 96: Authorisation Description

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.

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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.

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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.

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.

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.

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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 (**Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process**).

Figure 104: Application documentation

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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.
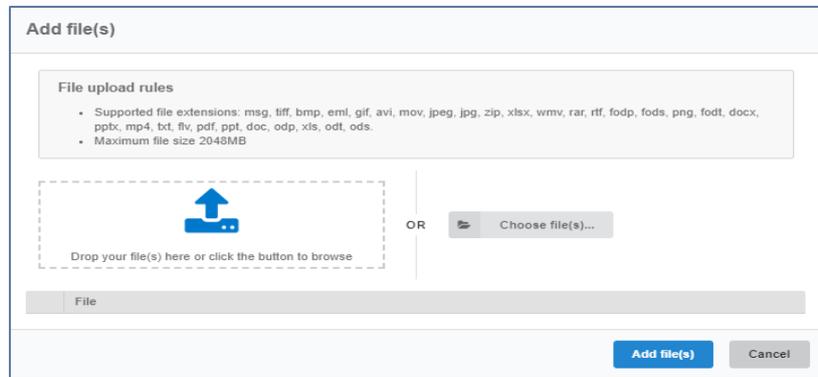
Figure 105: Add file(s)
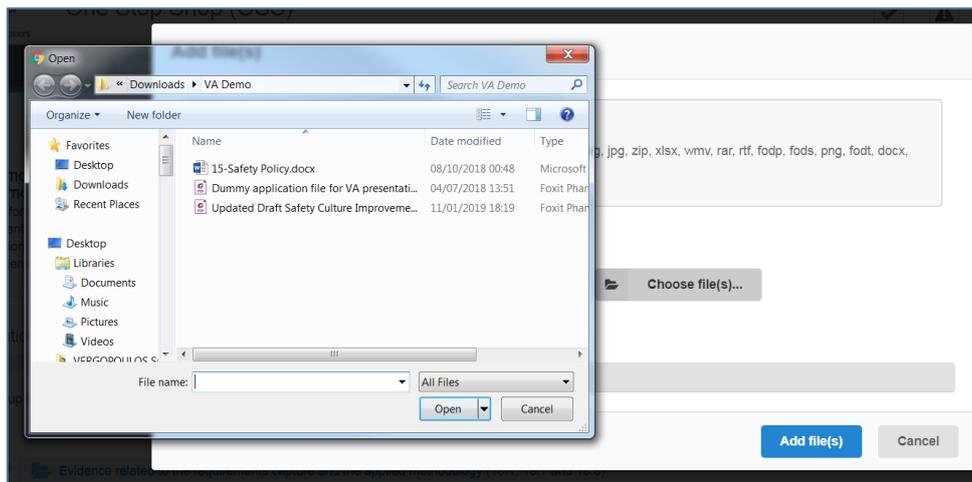
Figure 106: Choose file(s)

Figure 107: Successful upload

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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.
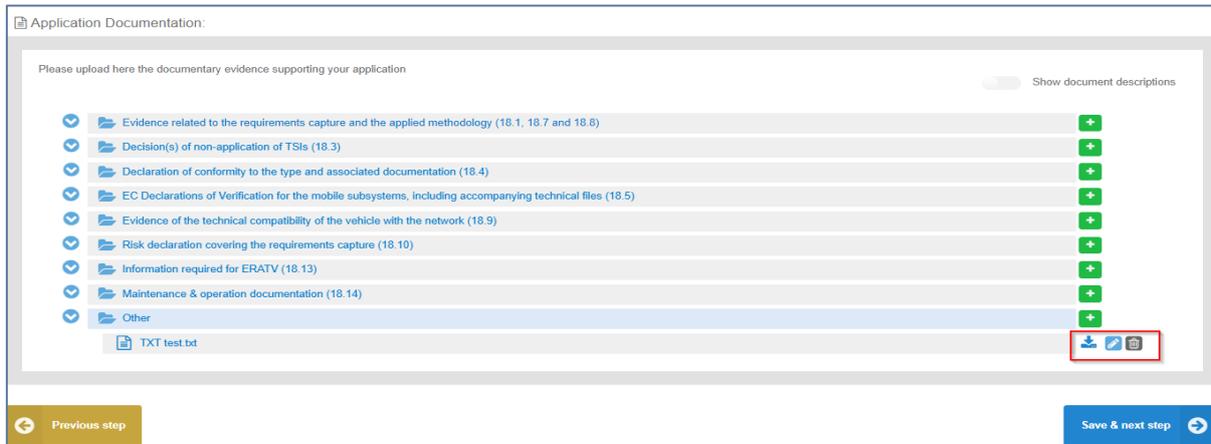
Figure 108: Uploaded file

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
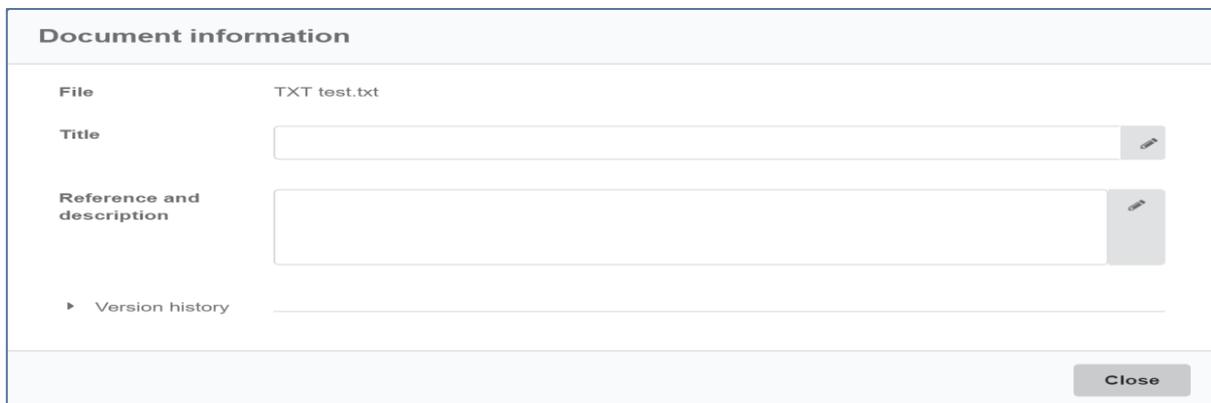
Figure 110: Document information

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.

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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.

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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)

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- 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.
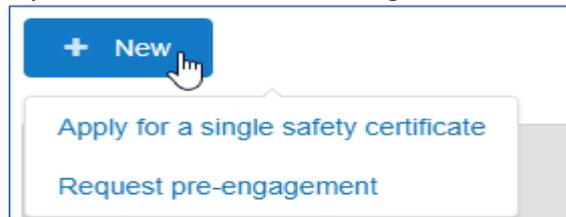
Figure 113: Create Certificate application

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.

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.

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.
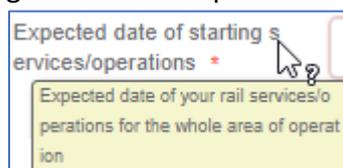
Figure 116: Tooltip information

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.

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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.

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.

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 (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 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.

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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 (*).

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.

Figure 122: Pre-engagement id

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

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.

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.

Figure 125: Type of operation requested

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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).

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.

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.

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Figure 130: "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:
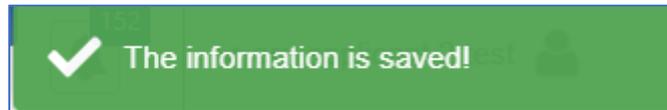
Figure 131: Confirmation message

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.
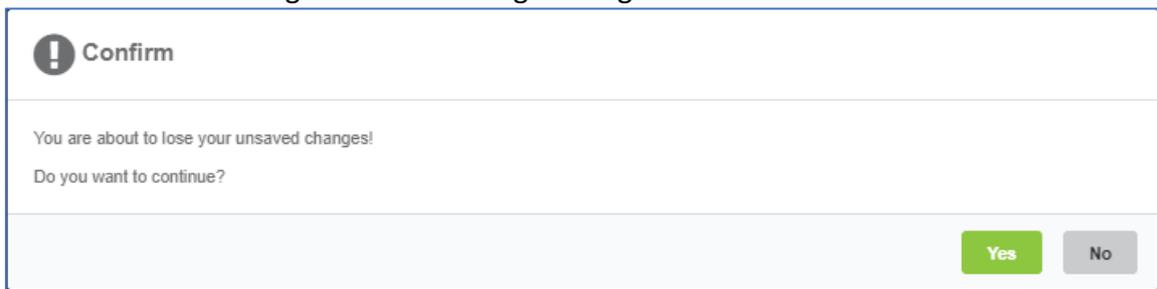
Figure 133: Warning message about unsaved information loss

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.

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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.

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.

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.

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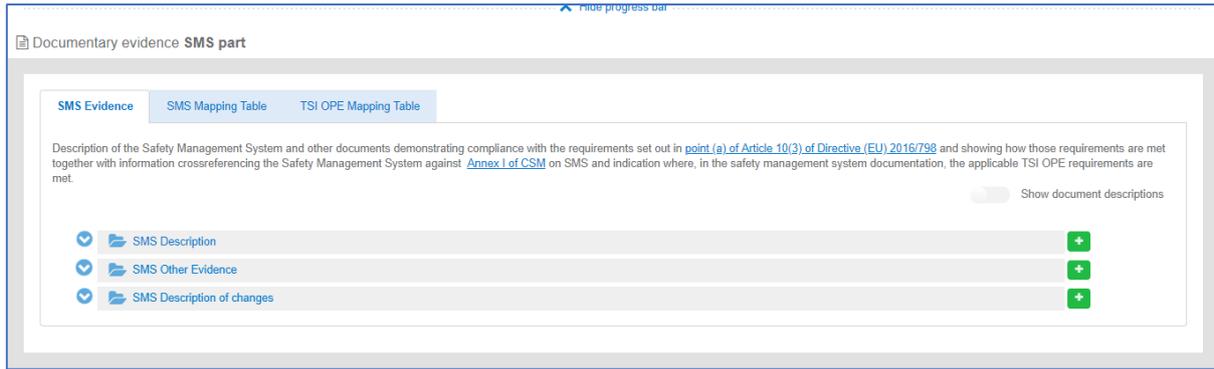
Figure 137: Documentary evidence SMS part "Update or Renewal" type of application

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.
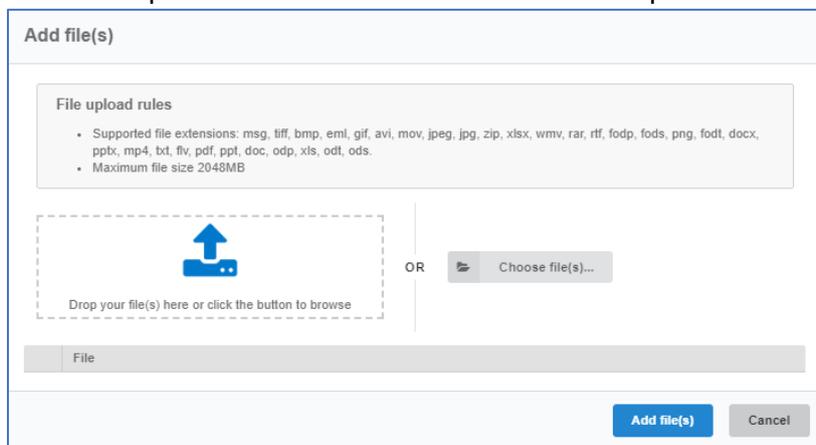
Figure 138: Add file(s)
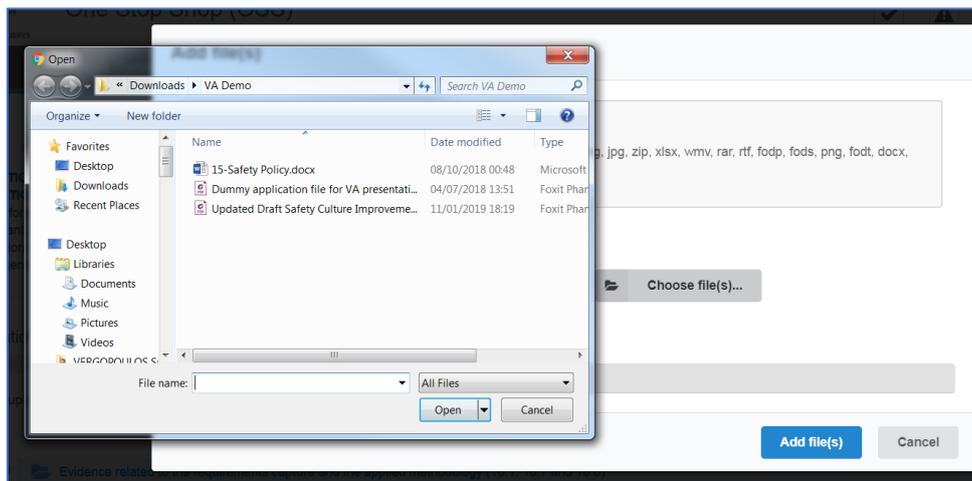
Figure 139: Choose file(s)

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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.
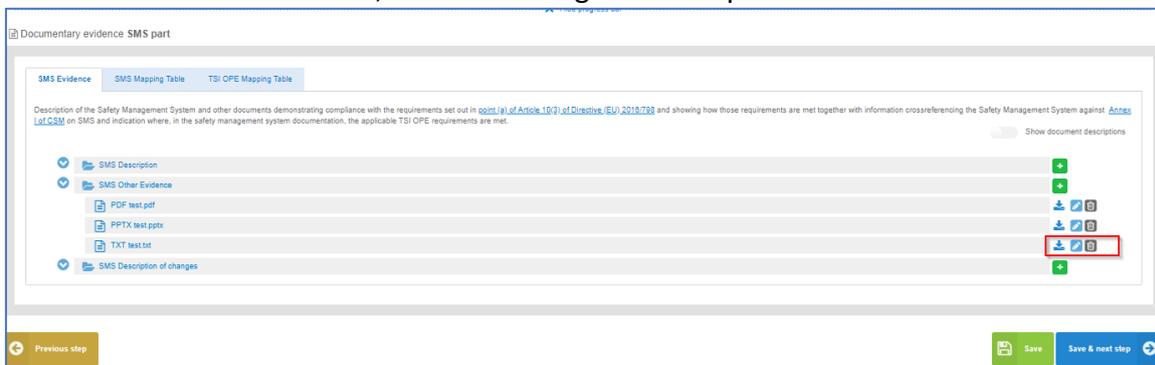
Figure 141: Uploaded files

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.
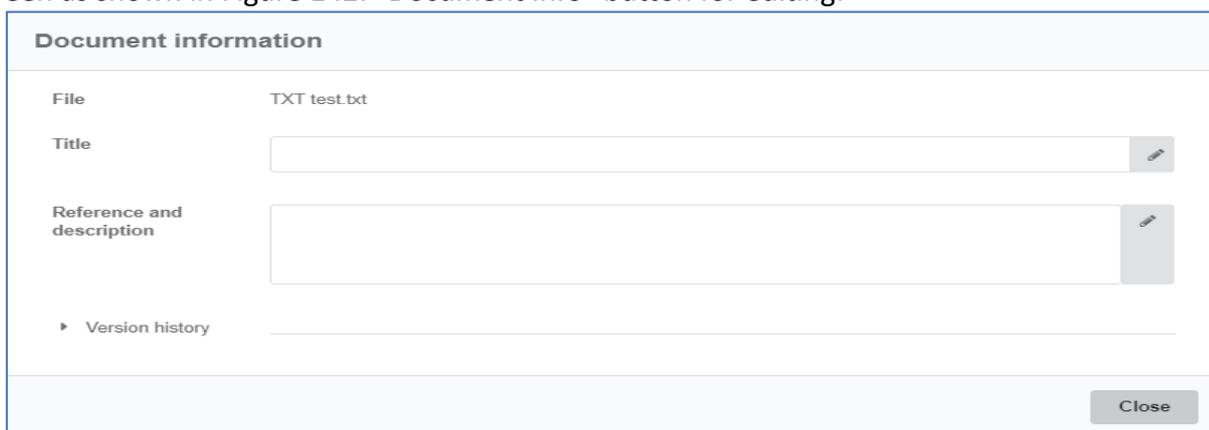
Figure 142:" Document info" button for editing

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.

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The applicant selects "Show document descriptions" button. The systems then, displays the details of the uploaded files (size, title, and reference-description).
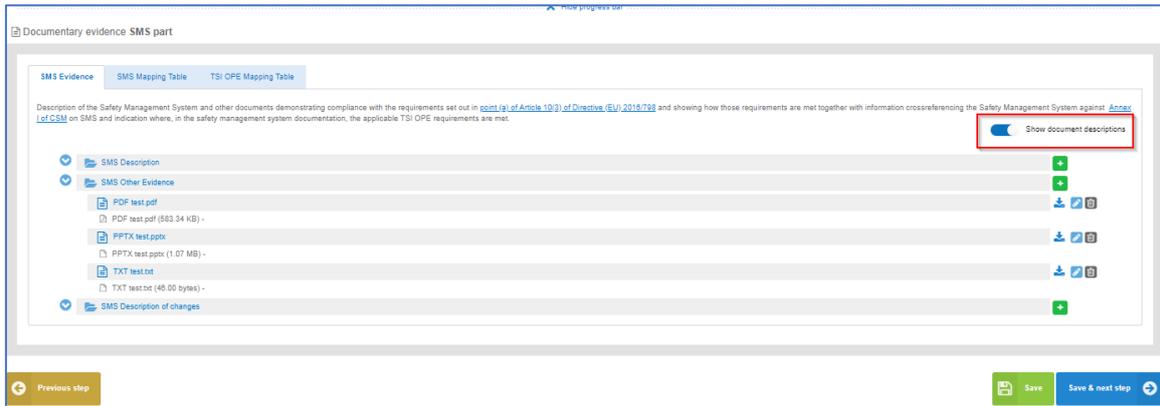
Figure 143: Documentary evidence – "Show document description radio button

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.
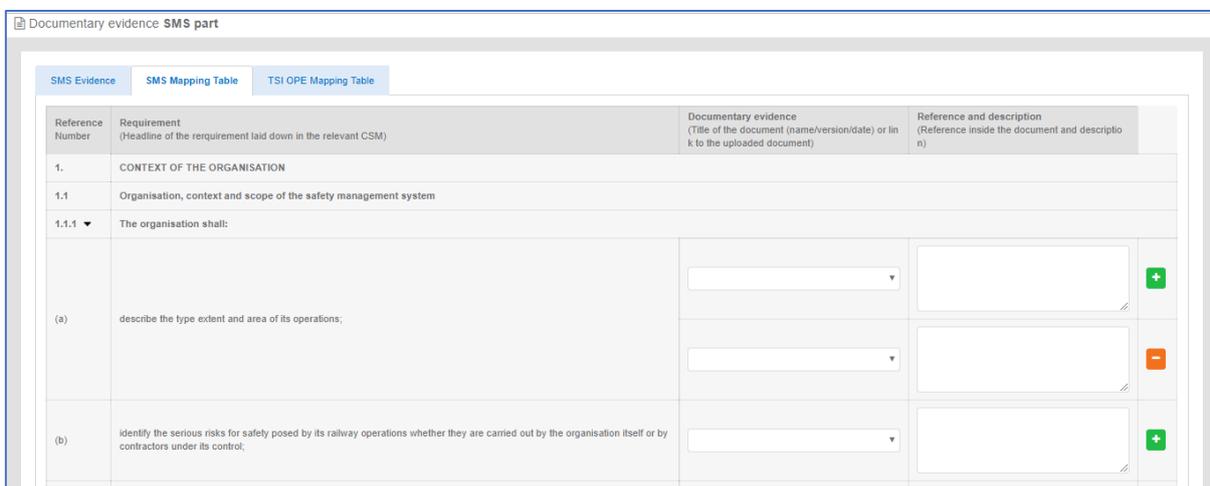
Figure 144: "SMS Mapping Tables" tab

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

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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.
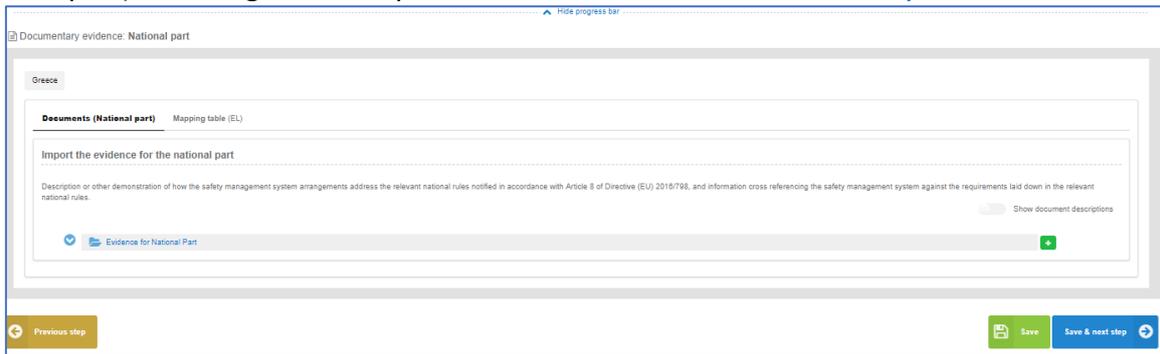
Figure 145: Documentary evidence

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).
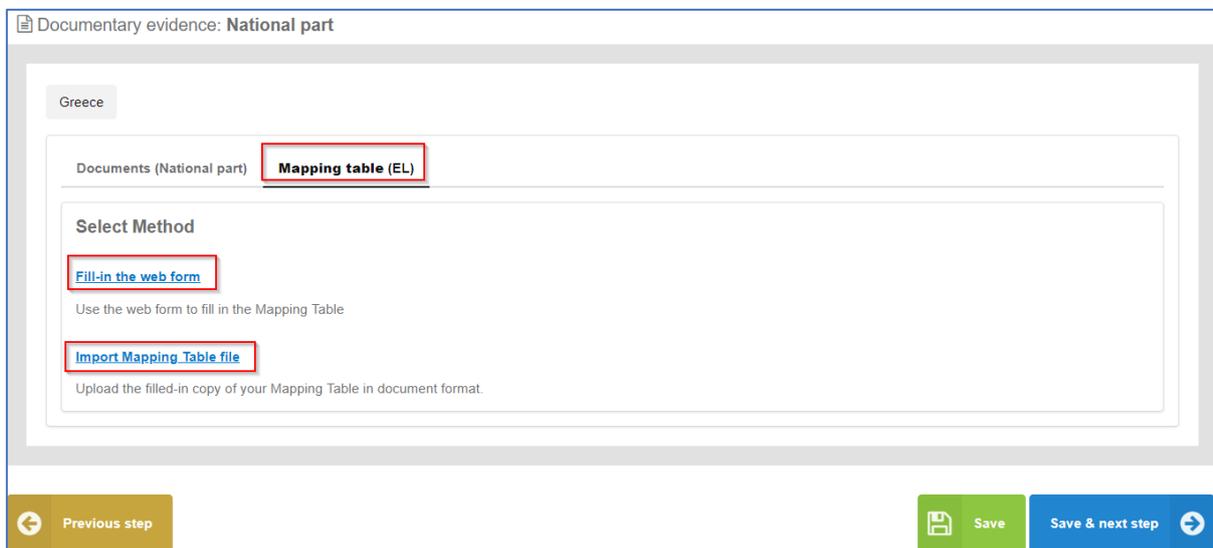
Figure 146: Mapping Table (NSA)

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.

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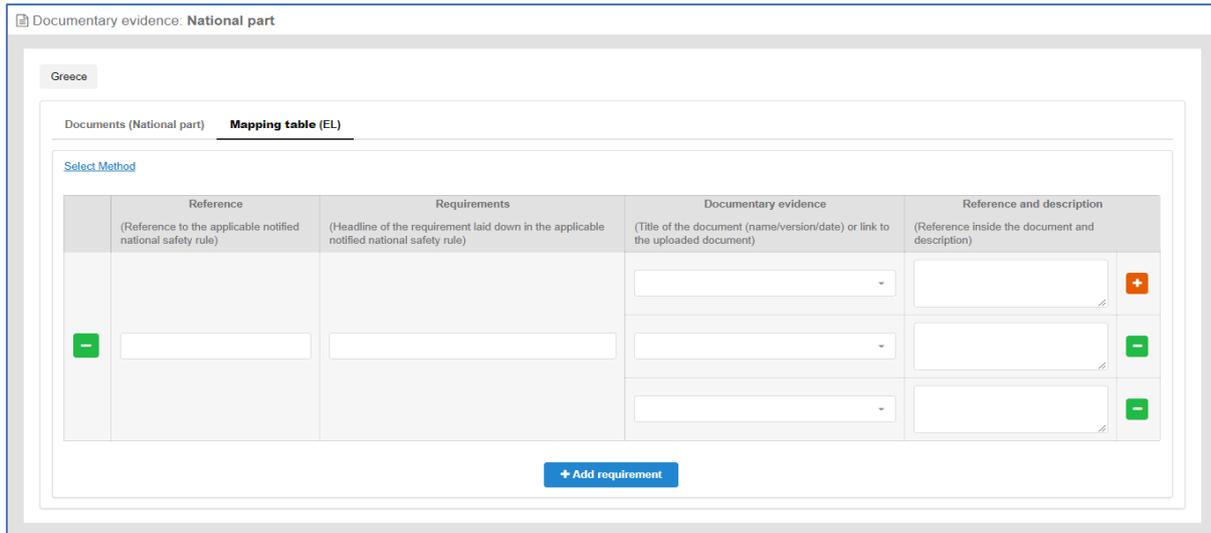
Figure 147: Fill- in the web form screen

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.
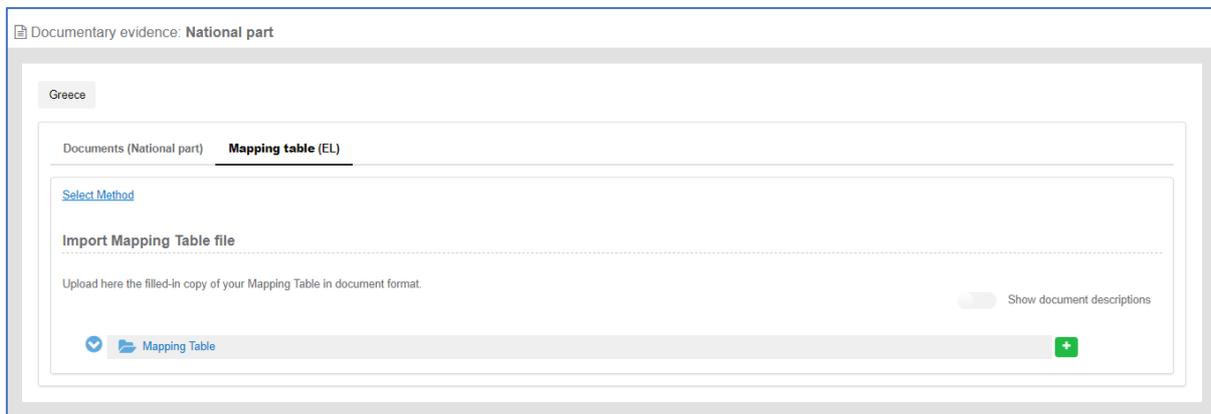
Figure 148: Import Mapping Table file screen

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.

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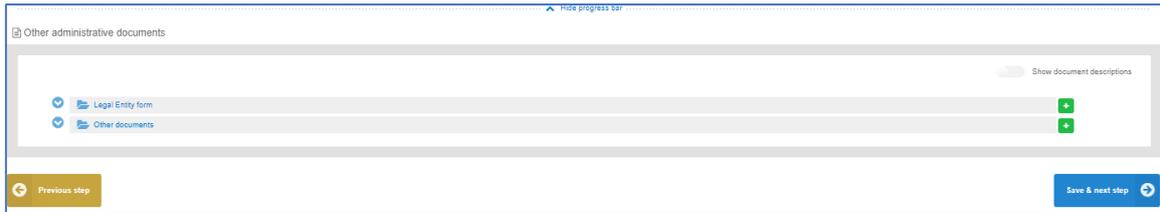
Figure 149: Other Administrative Documents

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.
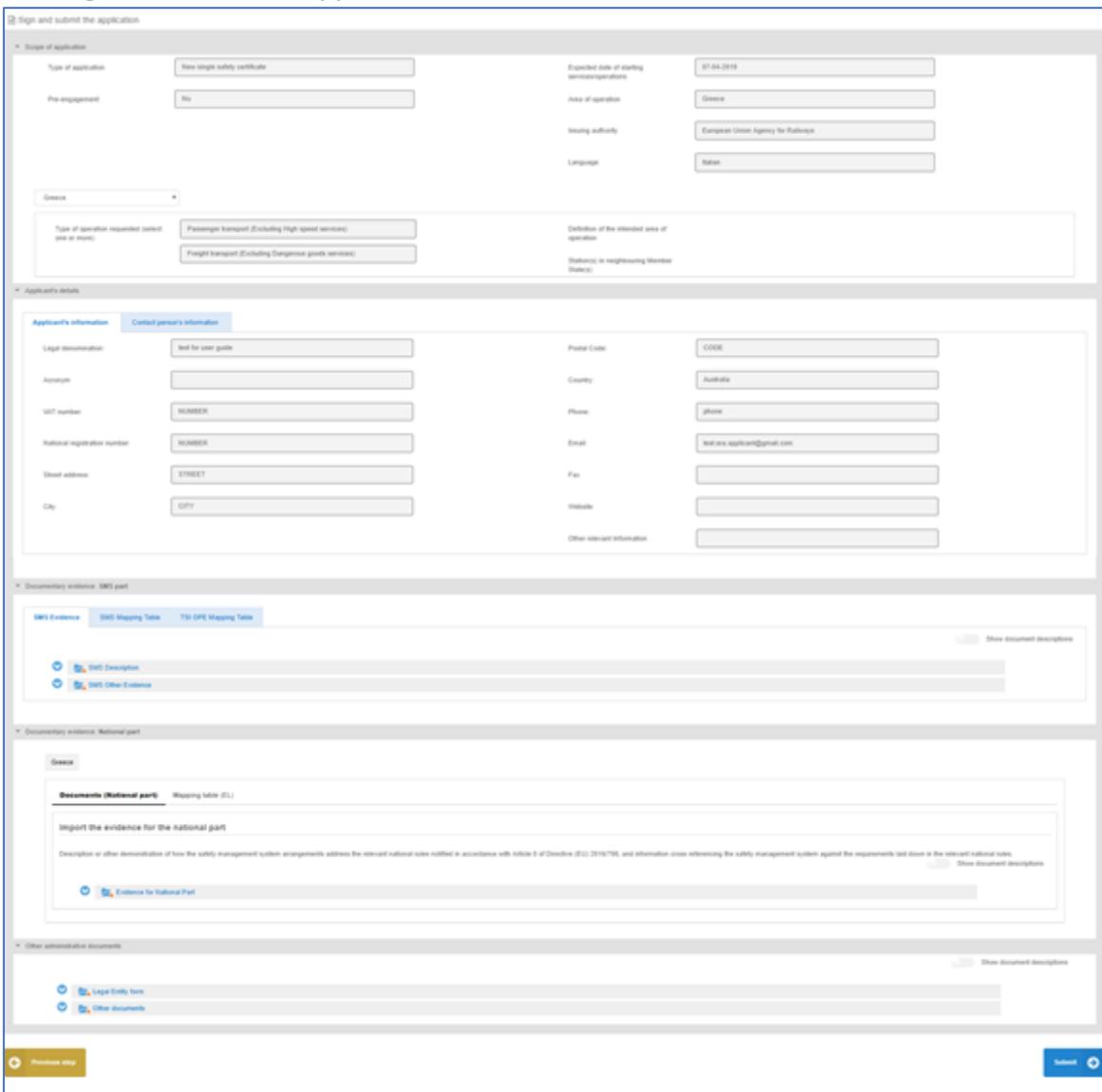
Figure 150: Review application

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.

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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.
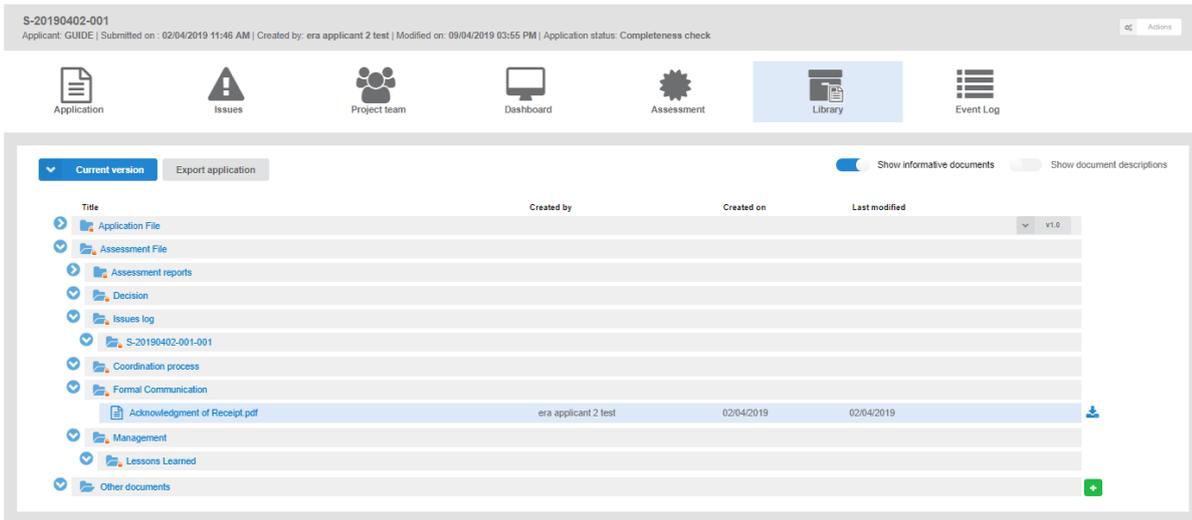
Figure 152: Acknowledgment of receipt in application Library

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.

Figure 153: Acknowledgment of Completeness in application Library

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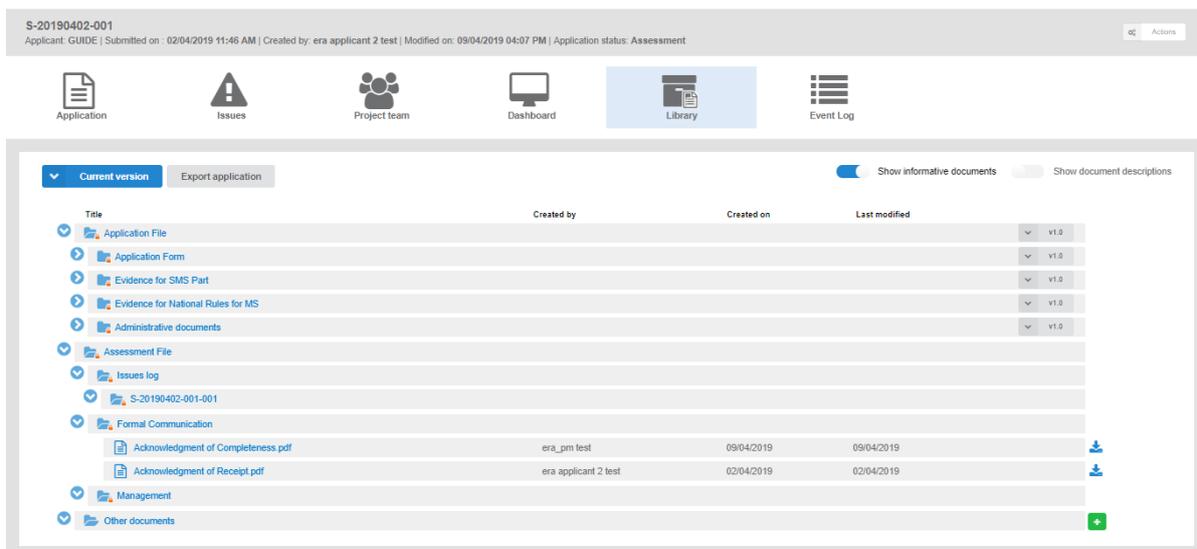
4.2.2 Pre engagement

This section explains how an applicant user of the system can create and prepare a SSC pre-engagement (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 pre-engagement 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.
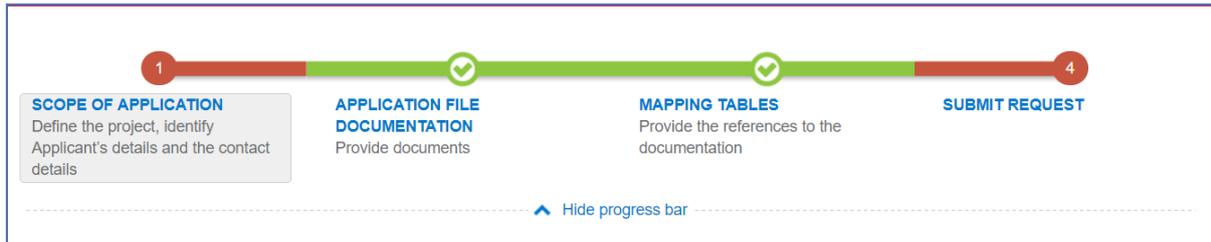
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Figure 155: Progress bar of a TA application

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.

Figure 156: Mandatory fields

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

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.

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.
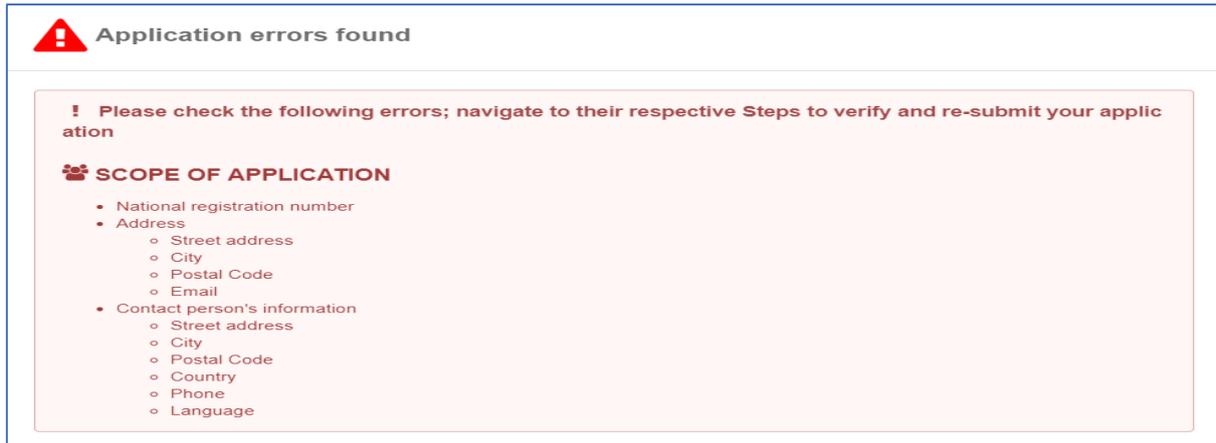
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Figure 159: Error message validating the submission of an application

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.

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).

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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.

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.

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Figure 163: Member State(s) selection

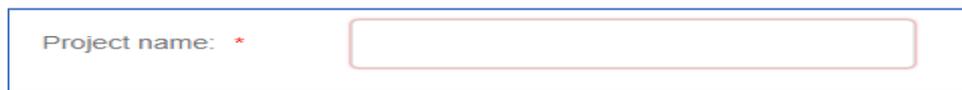The user must also provide the name of the project as shown in Figure 164: Project name.

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.
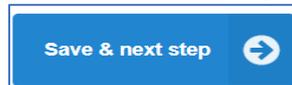

Figure 165: Save and next step

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.

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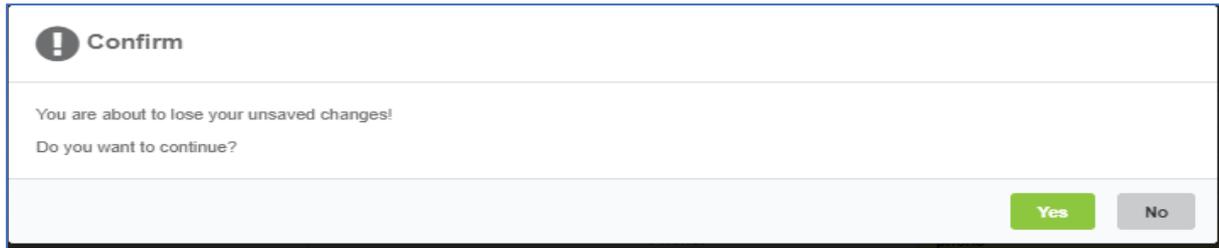
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Figure 168: Warning message about unsaved information loss

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.
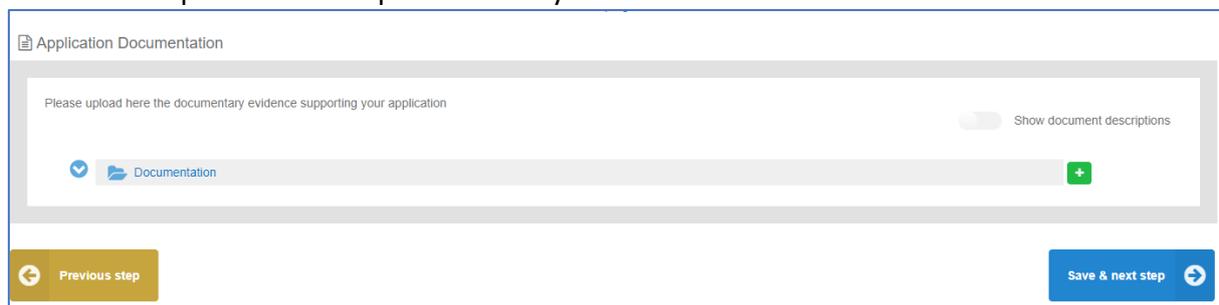

Figure 169: Application Documentation

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.
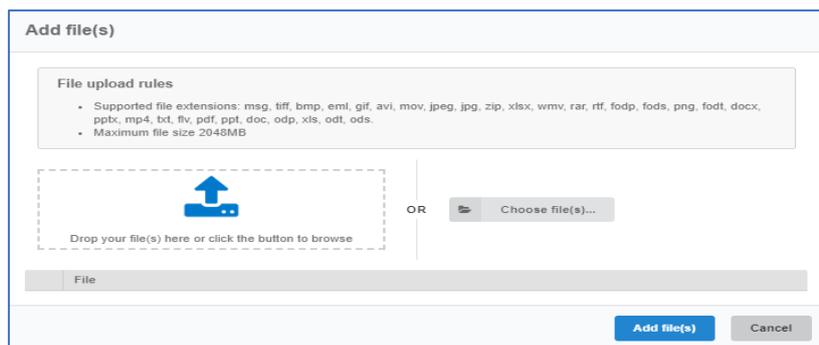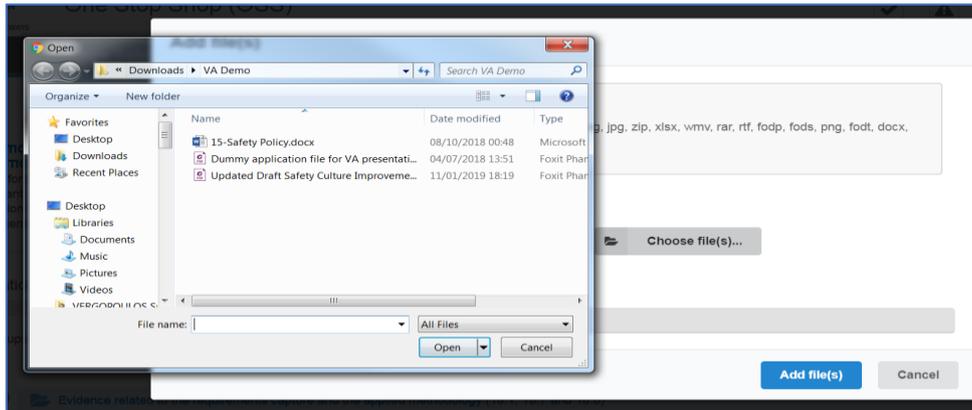

Figure 170: Add file(s)

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Figure 171: Choose file(s)

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).
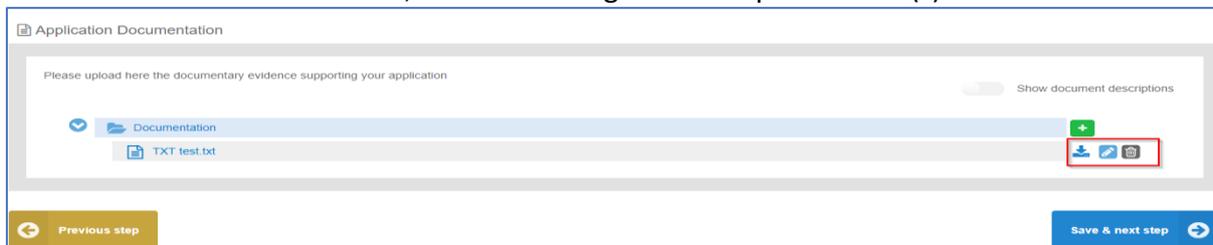

Figure 173: Uploaded file(s)

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.
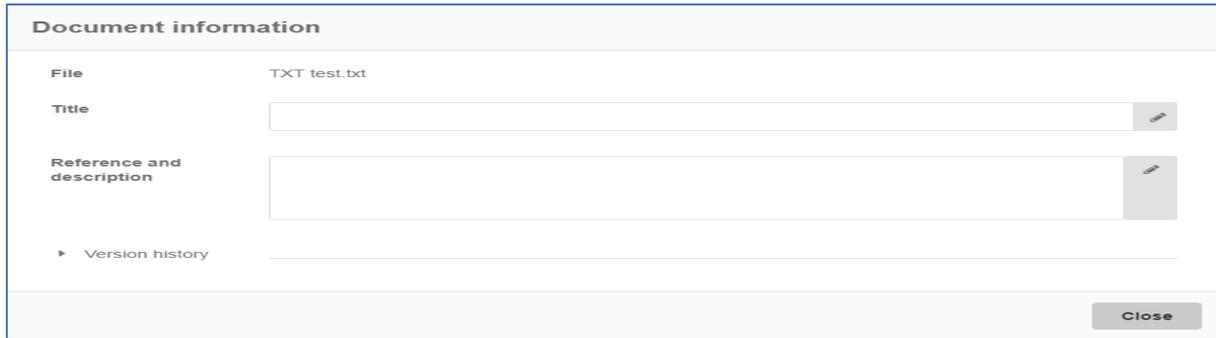
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Figure 174: Document info- "Edit" button

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.

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.
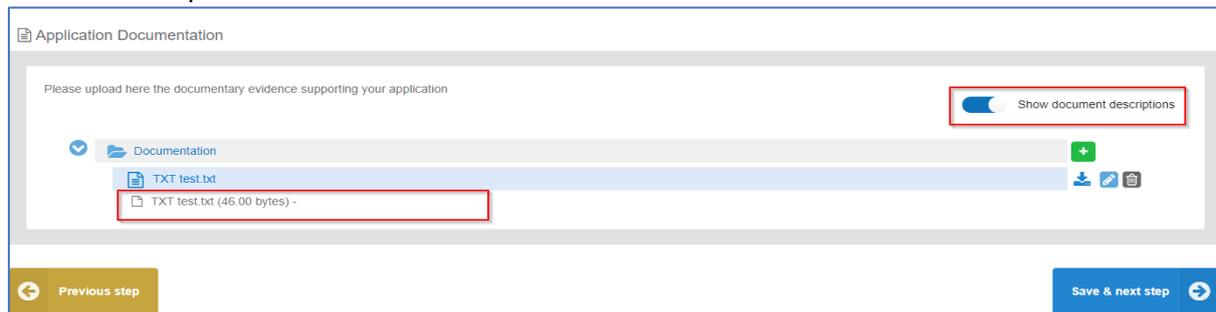

Figure 176: Show document descriptions radio button

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.

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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.

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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

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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.
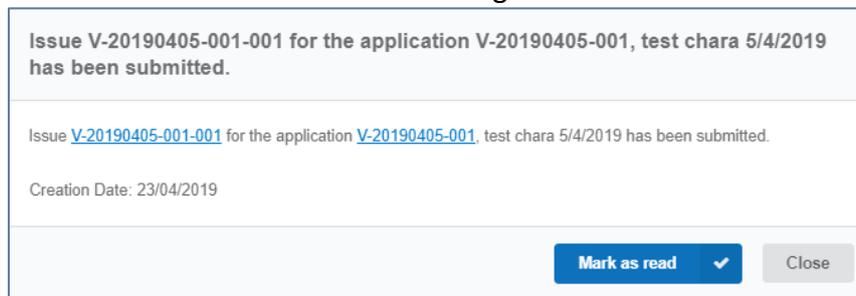

Figure 179: Issue notification

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

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).

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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").
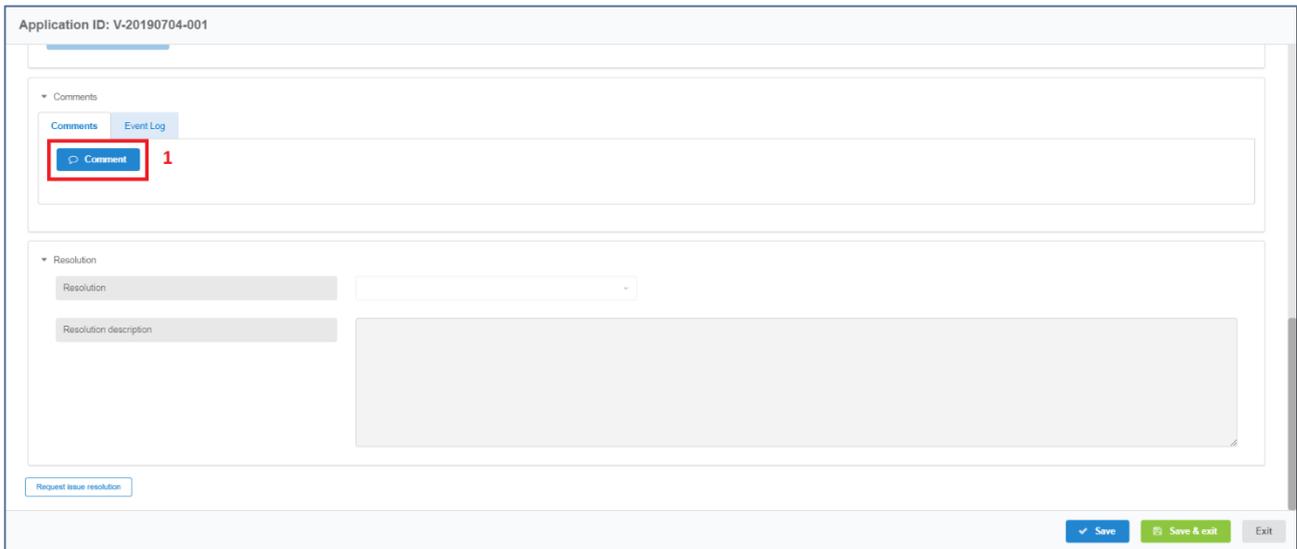
Figure 182: Add comment (I)
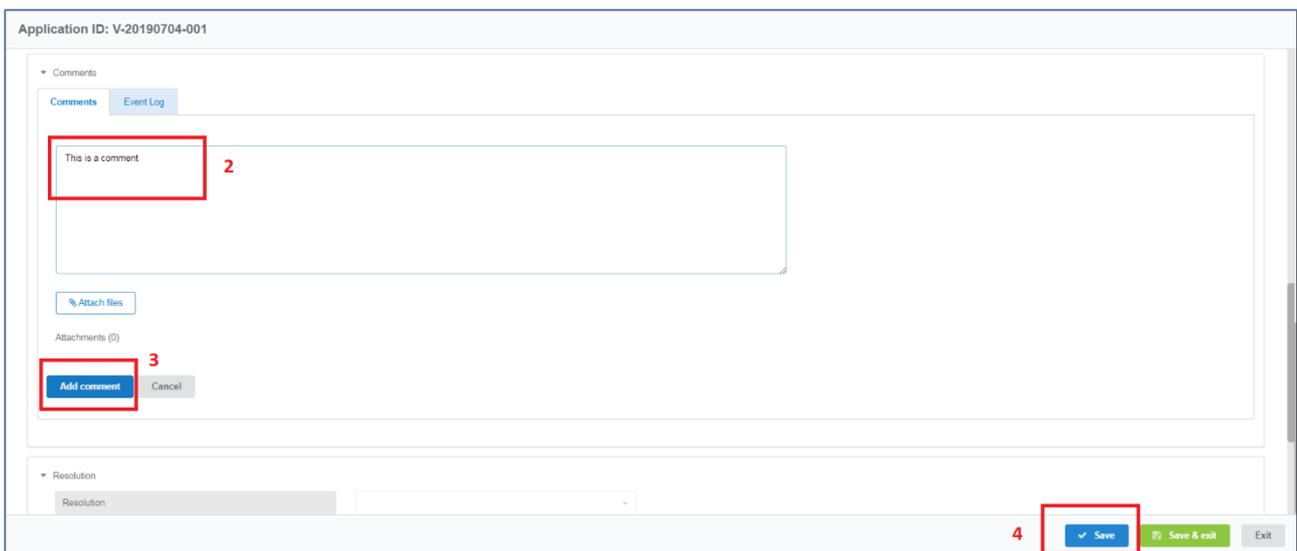
Figure 183: Add comment (II)

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

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

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.

Figure 186: "Submit" button

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

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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.

Figure 188: Delete a draft issue

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