EUROPEAN UNION AGENCY FOR RAILWAYS

Making the railway system

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User guide for assessment teams

One Stop Shop [ERA-DRO-010]

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Signature			

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Table of Contents

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) legislation.

Detailed information in regards to the specific business processes can be found on the ERA website:

1. Vehicle Authorisations (VA)
2. Single Safety Certifications (SSC)
3. 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 browser, as using others might result in poor performance or errors.

1.2. Purpose and scope of this document

This user guide for SSC, VA and TA assessment teams contains all essential information for the user to make use of the 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 on using the OSS, send your message via email to servicedesk@era.europa.eu.

In addition, following the “Support” link on the OSS sign-in page, you will be redirected to the ‘Contact us’ page of the Agency website where a number of FAQ guides can be found.

1.4. User roles, business domains and organisations

Access to the system functions and information is managed through a model of user roles. Roles are effective either within the context of a specific application or system-wide.

Application specific roles	System-wide roles
Applicant (AP)	Program Manager (PgM)
Project Manager (PM)	User Manager (UM)
Assessor (AS)	
Assuror (AR)	
Decision Maker (DM)	
Observer (OB)	

Table 1: User roles

Access is also constrained by the user’s organisation and the assigned business domain(s).

In the OSS model, each user belongs to an organisation, i.e. ERA officers belong to ERA, and NSA representatives to each one of their organisations respectively.

Business domains are Vehicle Authorisations (VA), Single Safety Certifications (SSC) and ERTMS trackside approvals (TA). It is required for a user to be assigned to a specific business domain in order to obtain access to specific applications.

2. User account management

2.1. User registration

All users - irrelevant to the organization they belong to - should register their new user to SRM Online following the link: https://eraportal.powerappsportals.com/RegisterPage/ and then the provided instructions there.

Upon the user's successful registration the User Manager (UM) creates a new user in OSS by clicking on the respective button as depicted in Figure 1. Then the UM searches the already existing user in SRM Online by its email, as depicted in Figure 2.

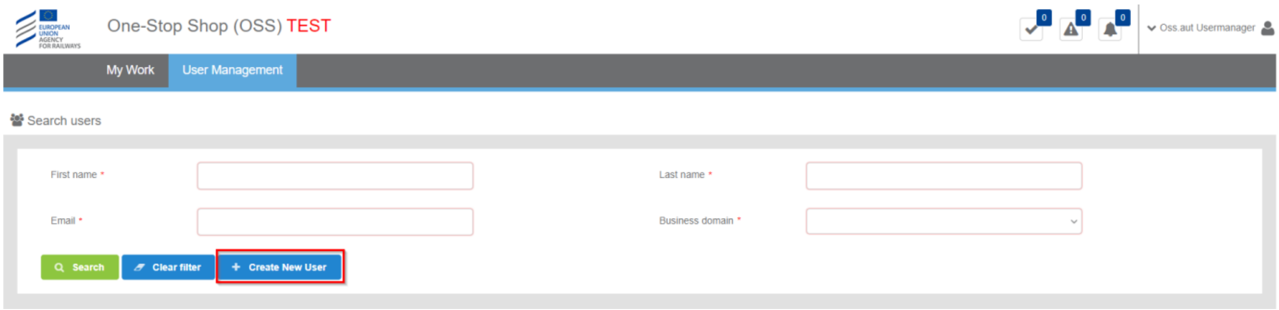

Figure 1: User Manager screen

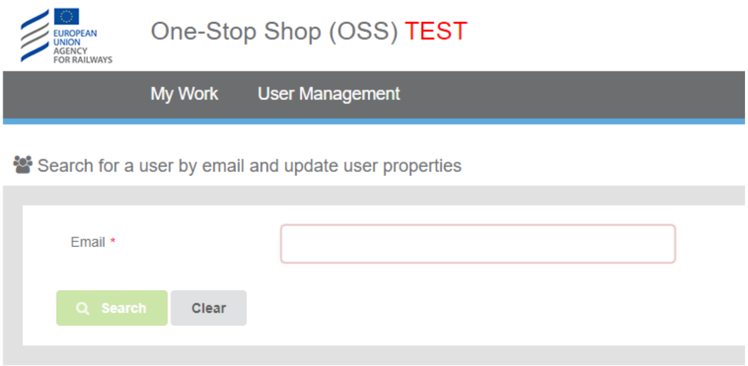

Figure 2: Create New User - search by email

Finally the UM updates user's properties by assigning business domains (1), system wide roles (2) and registers the user to a Pool of Experts[1] (3)

[1] By Pool of Experts (PoE) we mean the MS(s) other than the Authority the user belongs, that can act as an assessment team member as a member of the selected MS. There are bilateral agreements between the Agency (ERA) and the Member States for allowing a resource to be used as a resource of another MS.

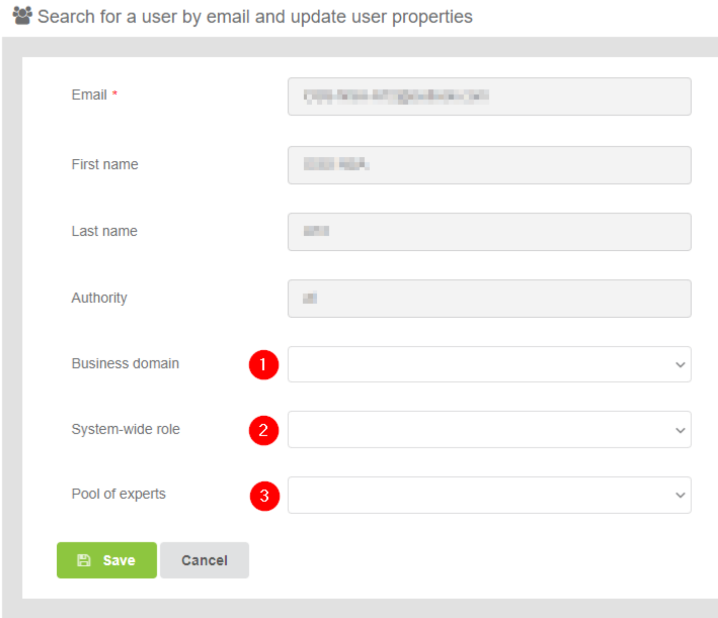

Figure 3: User properties

2.2. Sign in

Only registered users are able to sign into the system. In the landing page of the OSS shown in Figure 4 click on the "Sign in" button. 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.

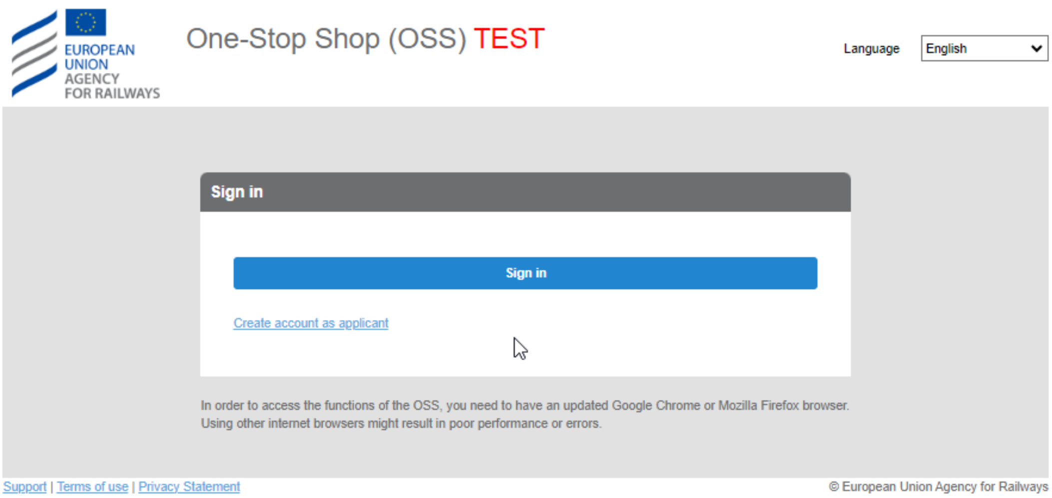

Figure 4: Sign in - OSS

For the sign in you will be redirected to the login screen as depicted in the Figure 5 in order for the user to provide username and password. Note that in case you are already logged in you will directly access the OSS.

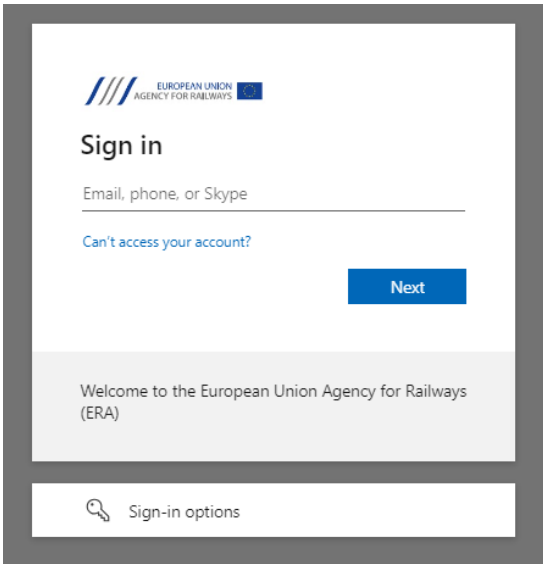

Figure 5: Sign in - SRM Online

In case a user has been registered to SRMO but not in OSS (as described in paragraph 2.1) the user will receive the error depicted in Figure 6: Sign in error . Upon this error, the user should visit again SRMO for OSS access request.

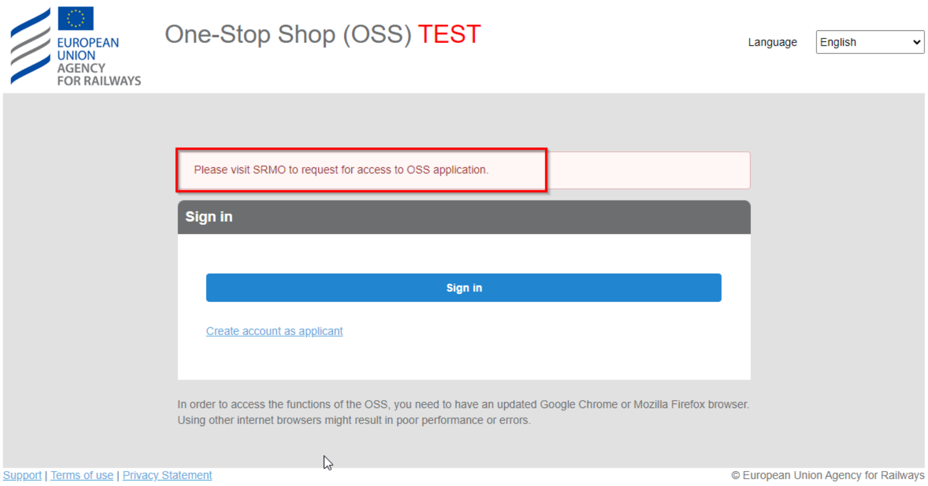

Figure 6: Sign in error

2.3. Forgot password

In case that the password has been forgotten, or it is requested to do so for any other security reason, the users must update their password. In the screen of Figure 7, the user selects “Can’t access your account?” option and follow the instructions.

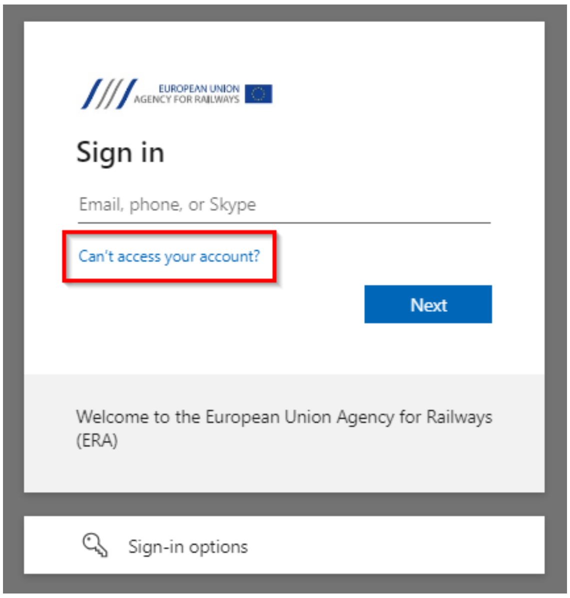

Figure 7: Can't access your account

2.4. Other options

Once logged in, additional navigation and functions are offered through the menu at the top right corner as shown in Figure 8.

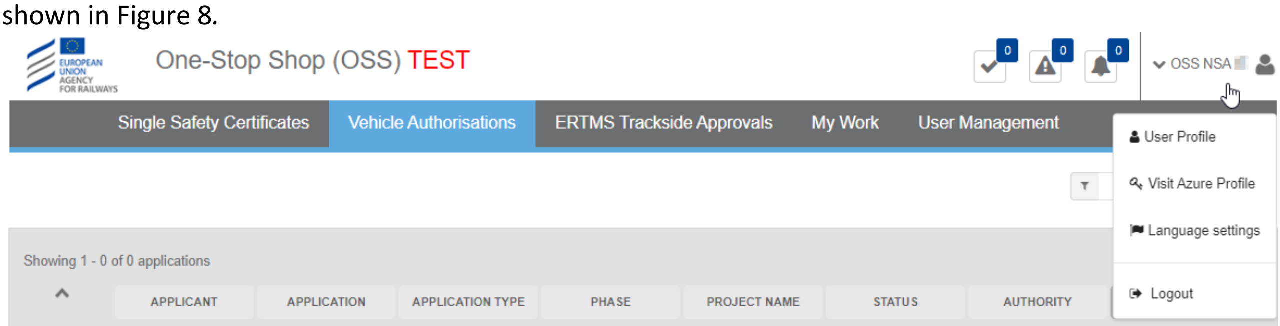

Figure 8: Menus and user actions

The options offered under this menu allow for:

- Viewing and updating user profile information;
- Redirecting to user's Azure Profile;
- Selecting the preferred user interface language;
- Logging out from the system.

2.4.1. View and update user profile information

Through User Profile a user may view all the information registered in his/her Azure Profile and is allowed to insert or update some preferences like the order of the tabs of the main ribbon menu, the default language and its preference for the reception of the OSS notifications, as shown in Figure 9.

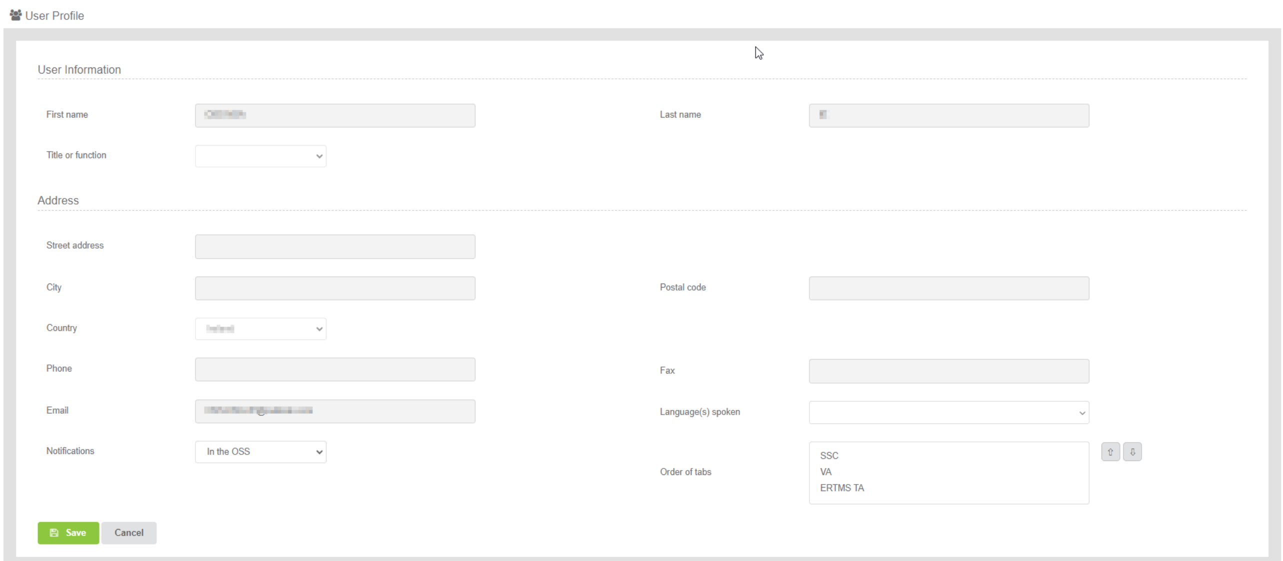

Figure 9: Update Profile

The user may insert and/or update any information in the form and click on the "Save" button. The information fields that have been deactivated in the User Profile form, refer to data directly transferred from the user's Azure Profile.

It is recommended that users, after their first sign in, view and update their user profile, in order to ensure the correct information displayed, select the languages spoken and set their preference for receiving notifications. 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. Visit Azure Profile

With this option, the user will be able to be redirected to the control panel of its Azure Profile from where it is possible for the user to manage its Azure profile based on the available options as depicted in Figure 10: Azure Profile. Note that this option is available to the users which organisation is integrated with Azure or MS 365.

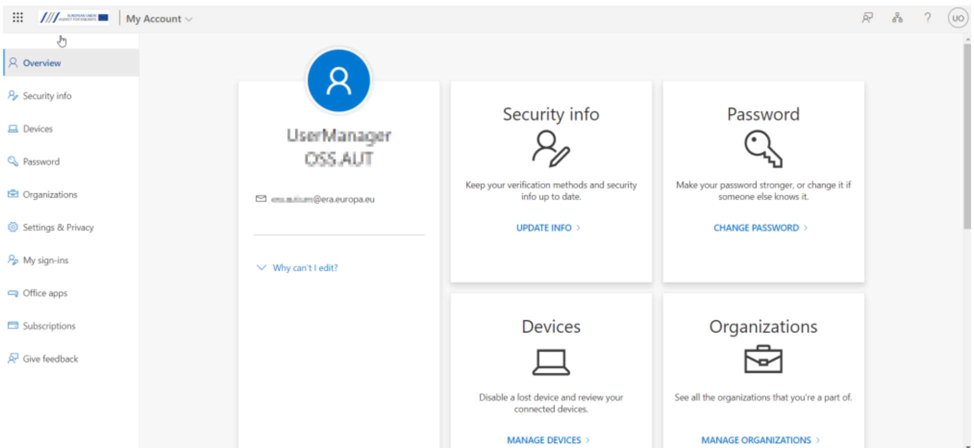

Figure 10: Azure Profile

2.4.3. Language selection

Figure 11 shows how to select the preferred user interface language.

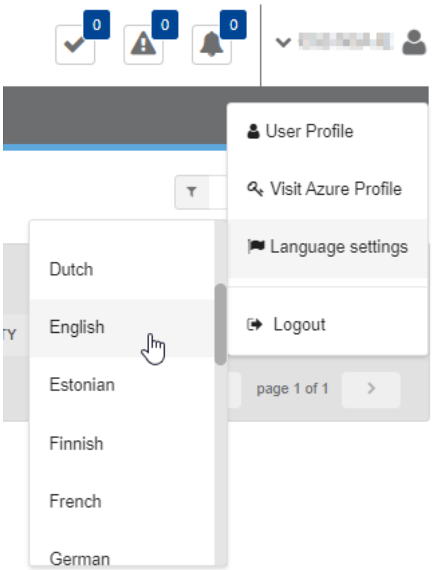

Figure 11: Language selection

3. Applications

3.1. List of applications

On successful sign in, the system displays a list of applications to which the user has access to, for each one of the different domains (i.e. SSC/VA/TA), as shown in Figure 12.

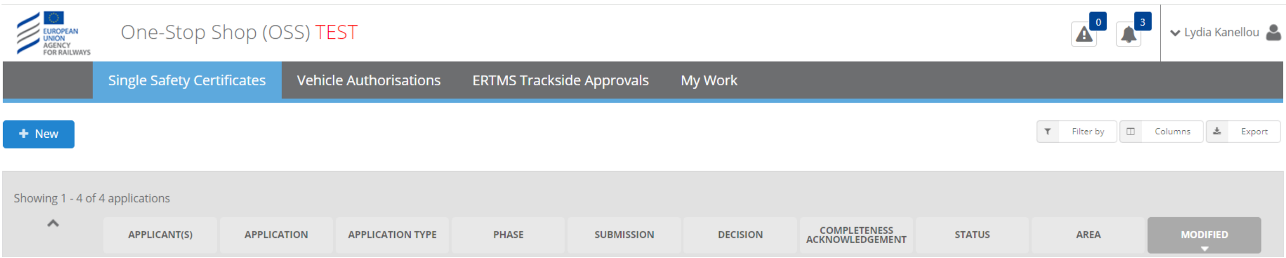

Figure 12: List of applications

There are features for paging (go to next or previous page, display x items per list), as shown in Figure 13 and selection of columns to display and filtering, sorting and exporting, as shown in Figure 14. The system remembers the selections made by the user for all subsequent views of the list of applications until the user amends them again.

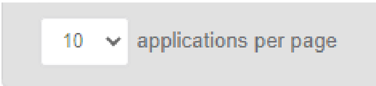

Figure 13: Paging

Figure 14: Filtering, exporting and column selection

3.1.1. Column selection

The user may select or unselect any of the available columns and select “OK” in order for the selected columns to be displayed in the List of applications. The maximum column choices are limited to 15. Possible choices include (in brackets the domain (VA, SSC, TA) that applies to):

- **Applicant**: The applicant’s legal denomination (VA, SSC, TA).
- **Application**: The application ID (VA, SSC, TA).
- **Application type**: The authorisation case or the single safety certification type (VA, SSC).
- **Phase**: The phase, either application for VA/SSC or pre-engagement (VA, SSC).
- **Project name**: The application’s project name (VA).
- **Authorisation details**: The authorisation’s details (VA).
- **Submission**: The submission date of the application (VA, SSC, TA).
- **Decision**: The decision date of the application (VA, SSC,TA).
- **Status**: The status of the application (VA, SSC, TA).
- **Area**: The Area of use/operation (VA, SSC).
- **Modified**: The date of the last update of the application (VA, SSC, TA).
- **Authority**: The authority to issue the decision (VA, SSC).

Available columns for selection in VA are shown in Figure 15 and as described in section Column selection.

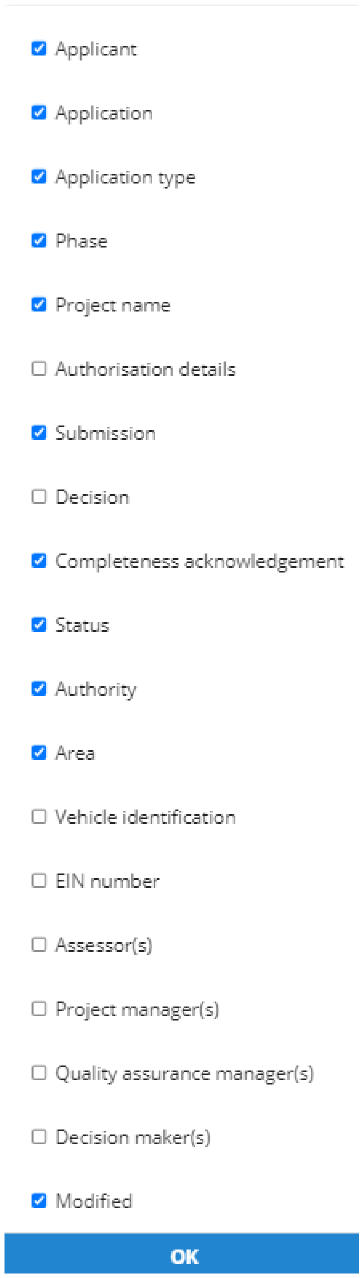

Figure 15: VA Application List columns

Available columns for selection in SSC are shown in Figure 16 and as described in section Column selection.

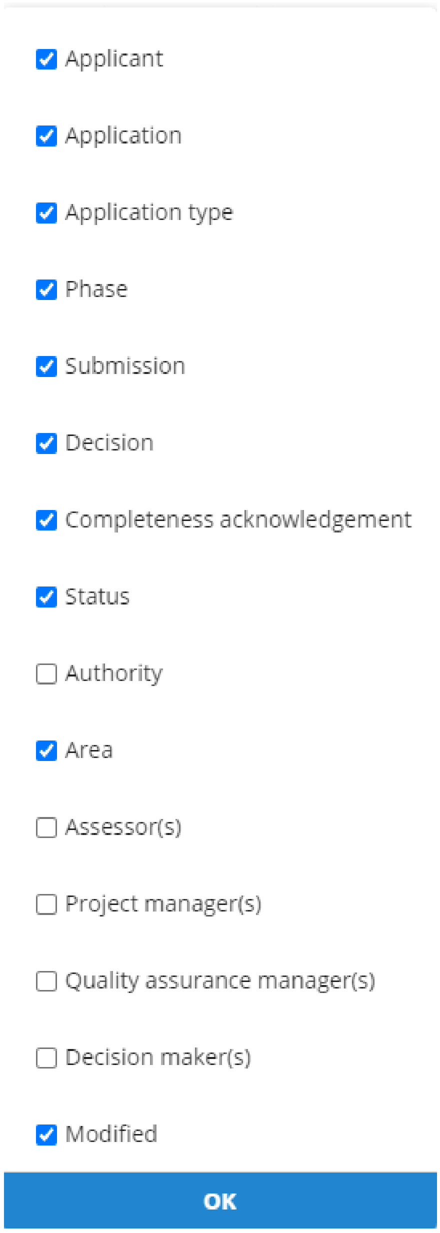

Figure 16: SSC Application List columns

Available columns for selection in TA are shown in Figure 17.

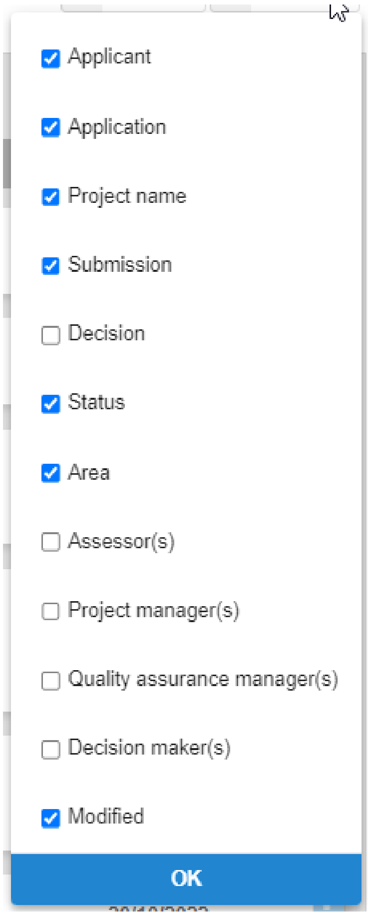

Figure 17: TA Application List Columns

3.1.2. *Filtering selection*

The user may select or unselect any of the available filtering options and a combination of them and select "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 in the list of applications page. Possible choices for filtering include (in brackets the domain (VA, SSC, TA) that applies to)*:*

- **Application type**: Authorisation case or single safety certification type (VA, SSC).
- **Status**: Status of an application (VA, SSC, TA).
- **Area**: Area of use/operation (VA, SSC).
- **Phase**: Application for VA/SSC or Pre-engagement (VA, SSC).
- **Submission Date**, **Decision Date** and **Modified Date**: **From** date until a **To** date of submission/decision/modification of an application (VA, SSC, TA).
- **Application**: Application ID (VA, SSC, TA).
- **Applicant**: Applicant's legal denomination (VA, SSC, TA)
- **Authority**: Authority to issue the decision (VA, SSC).

Filtering options available in Vehicle Authorisations and Single Safety Certificates are shown in Figure 18.

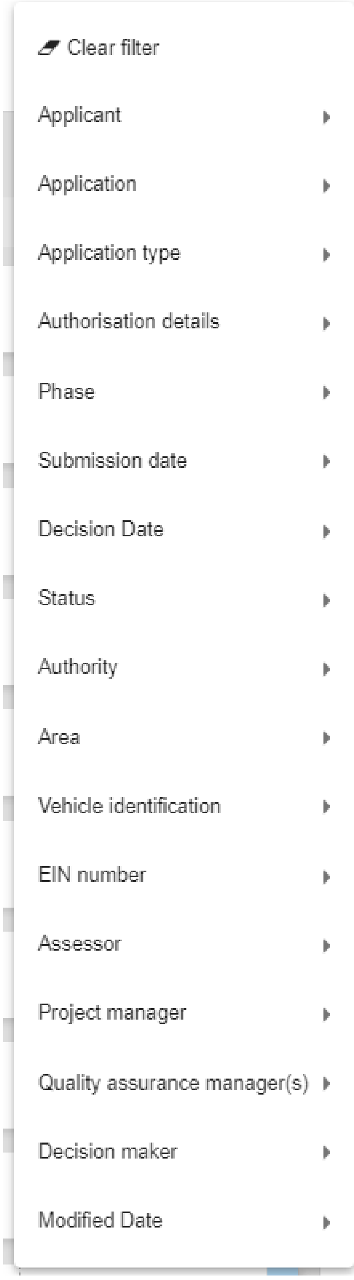

Figure 18 Vehicle Authorisations Filtering options

Filtering options available in TA are shown in Figure 19.

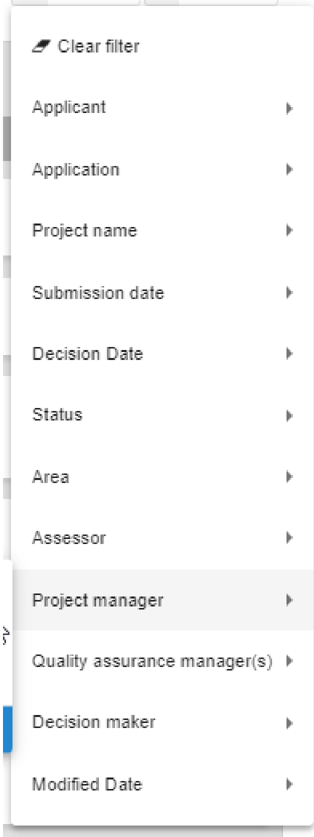

Figure 19 TA Filtering options

3.1.3. *Application list item*

For each application displayed in the applications list page, apart from the columns displayed, as chosen by the user following the previous steps, shown in Figure 20, the system allows for displaying summary information in regards to the applicant's details, or a quick view of the dashboard (stages/milestones) of the application.

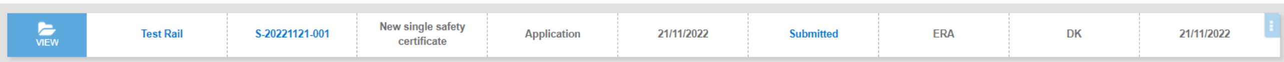

Figure 20: Applications list item

By clicking on the "Applicant" or the "Application" column then the summary information for the applicant's details are displayed, as shown in Figure 21.

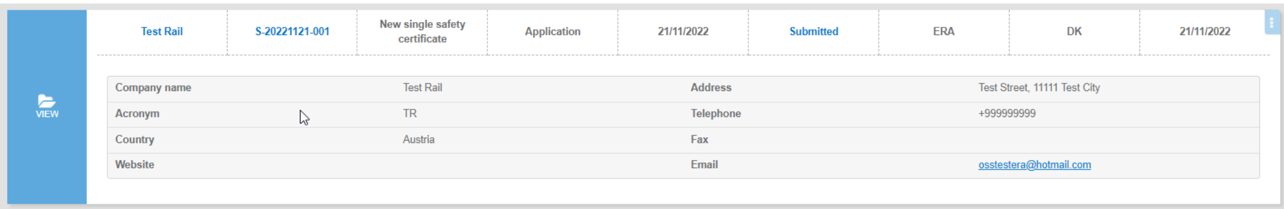

Figure 21: Applicant's details

By clicking on the "Status" column then the summary information for the stages of the application are displayed, as shown in Figure 22.

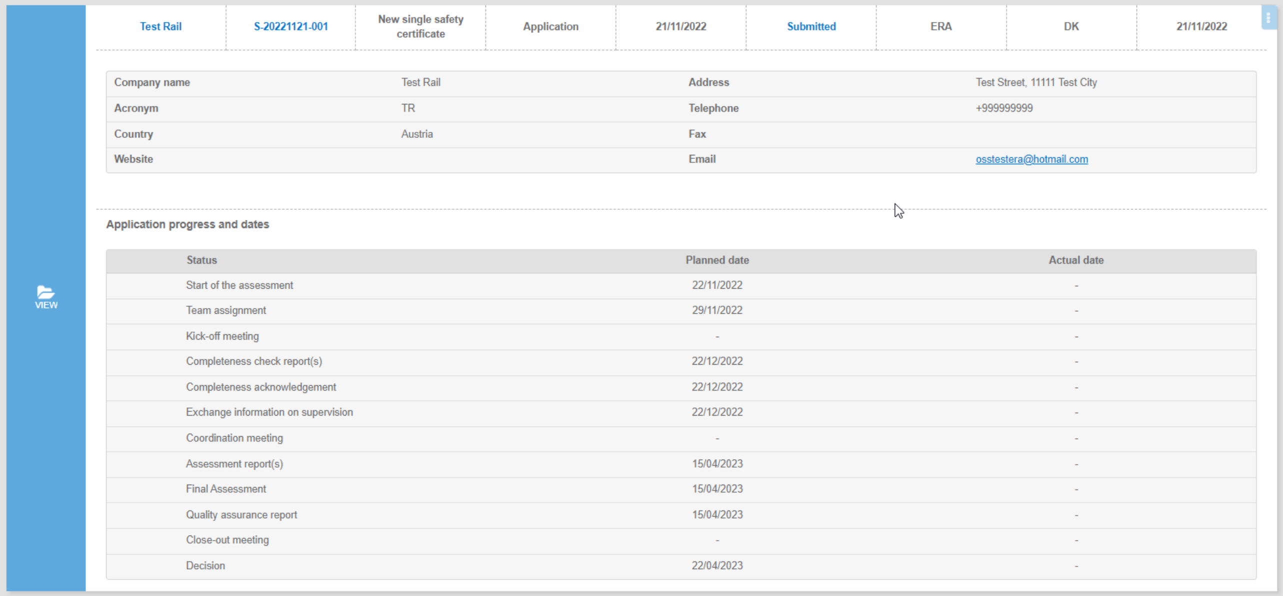

Figure 22: Status

In addition to the above options per applications list item, there is also a context menu as shown in Figure 23, offering options to view any of the sections of the application. By selecting any of the available options, the user is taken directly to that page of the specific application.

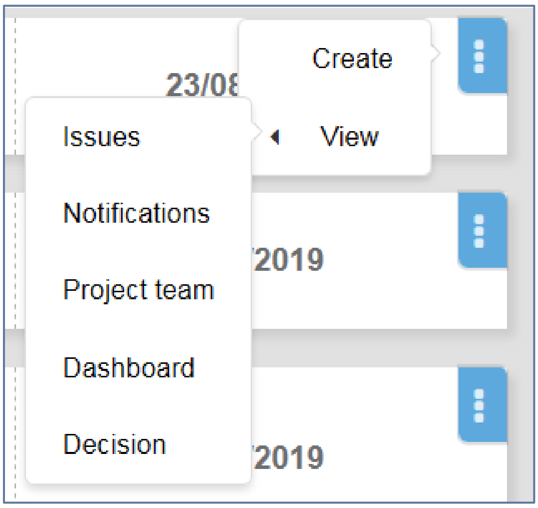

Figure 23: Context menu options

3.2. My work

When the user logs in, the tab "My work" is displayed within the grey horizontal bar section, through which it is possible to navigate to view the personalised lists of tasks, application issues and notifications. An alternative navigation path is through the counter icons displayed on the top of the screen. Both navigation options are shown in Figure 24.

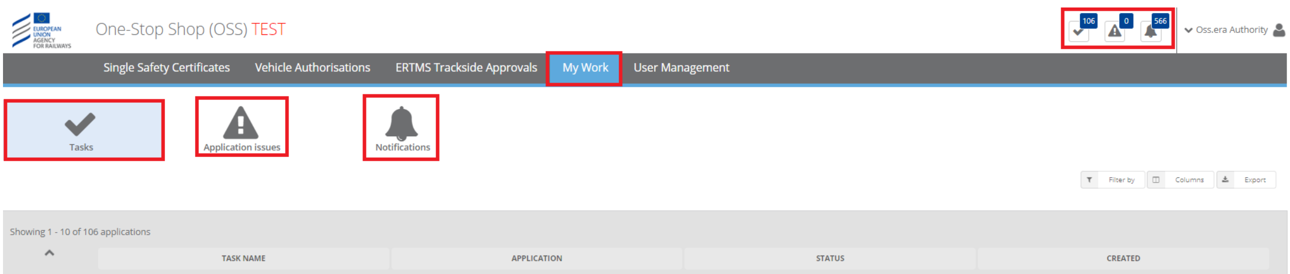

Figure 24: My Work screen

3.2.1. *Tasks*

Tasks are the actions a user has to perform for the purpose of the assessment of an application. Once the user selects the icon "Tasks" shown in Figure 24, a similar page to the one in Figure 25 is displayed, allowing the user to see the list of tasks to perform across all applications. The list allows for filtering and sorting (Column selection and Filtering selection).

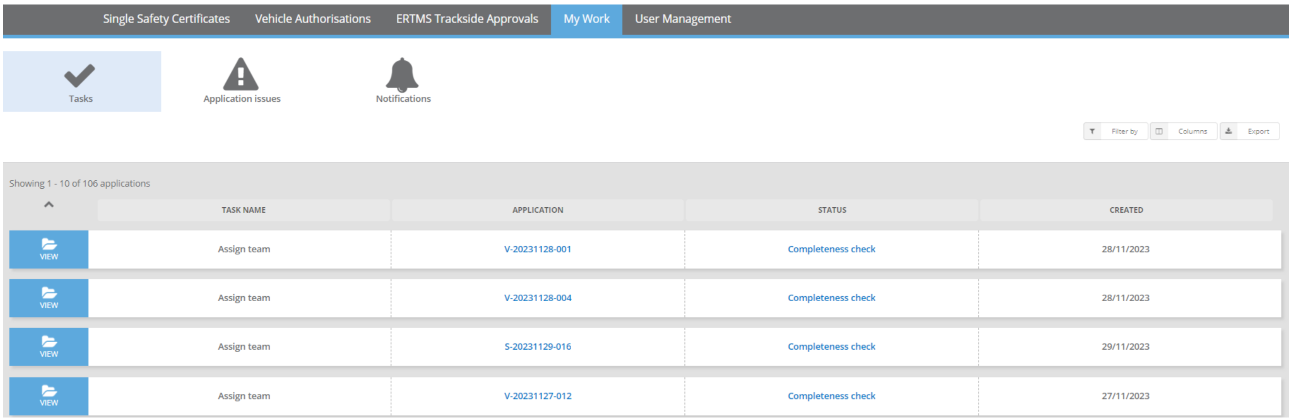

Figure 25: Tasks list

By selecting "View" for one of the tasks, the system navigates the user automatically to the relevant page where the action should take place. Once the action is completed, the task disappears from the list. At the same time, the tasks counter, as in Figure 26, will be reduced by one.

Figure 26: Tasks counter

3.2.2. *Application issues*

Application issues are created in order to support the communication between the assessment team and the applicant and vice versa, or among the assessment team. Once a user selects the icon "Application issues" shown in Figure 24, a similar page to the one in Figure 27 is displayed, allowing the user to see the list of application issues across all applications. The list allows for filtering and sorting (Column selection and Filtering selection).

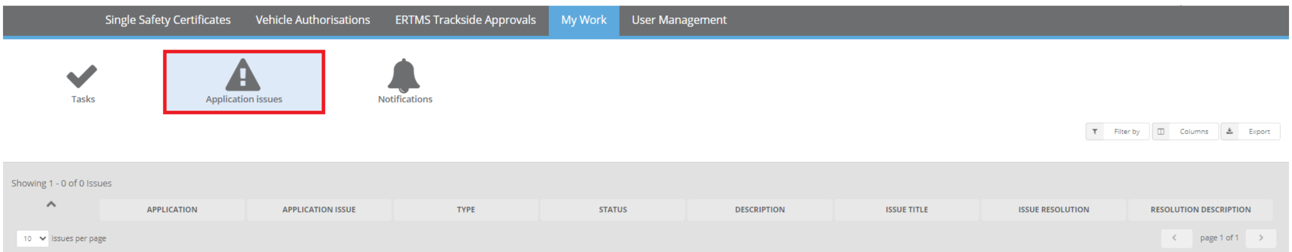

Figure 27: Application issues list

By selecting "View" for one of the application issues, the system navigates the user automatically to the relevant page for displaying the details of the selected issue for further actions. Once an application is closed, the related application issues disappear from the list. At the same time, the issues counter, as in Figure 28, will be reduced respectively.

Figure 28: Application issues counter

3.2.3. Notifications

Notifications are sent to users according to specific events and rules, and can be received both in the web application as well as via email messages. Users can configure to receive notifications also by email through the user profile page (in-app notifications are sent by default). Once a user selects the icon "Notifications" shown in Figure 24, a similar page to the one in Figure 29 is displayed, allowing the user to see the list of notifications across all applications. The list allows for filtering and sorting (Column selection and Filtering selection).

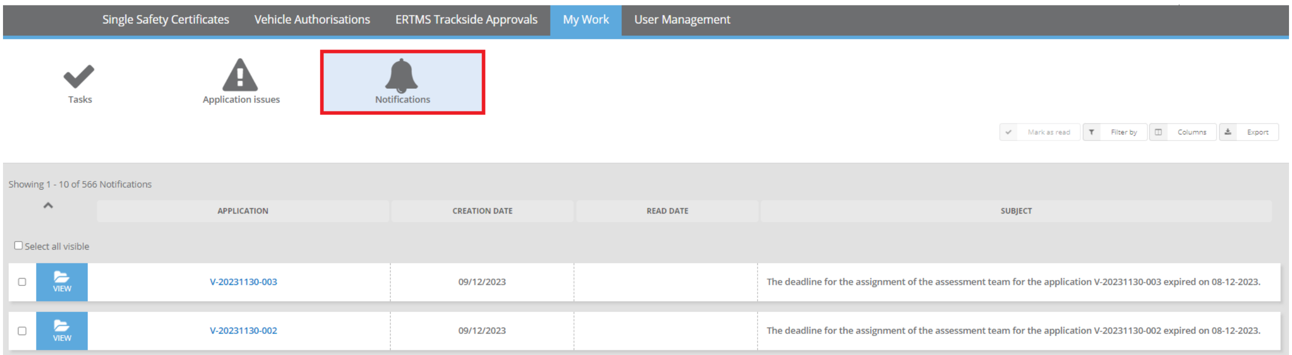

Figure 29: Notifications list

By selecting "View" for one of the notifications, the system displays a new page with the notification details, similar to the one in Figure 30. If the user selects "Mark as read" the notification is greyed out. The unread notifications count number, as in Figure 31, is updated when a notification is marked as read. Finally, the user can close the pop-up window by selecting "Close".

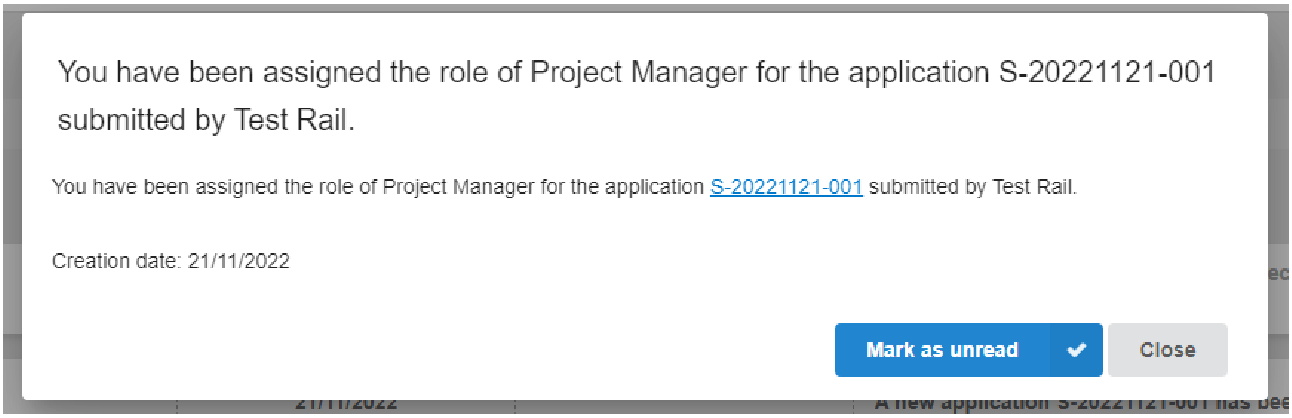

Figure 30: Details of a notification

Figure 31: Notifications counter

3.3. Application pages

3.3.1. Application home page

When a user signs in, the system displays the relevant applications list. If the user selects to “View” an application, the system displays a page similar to the one in Figure 32:

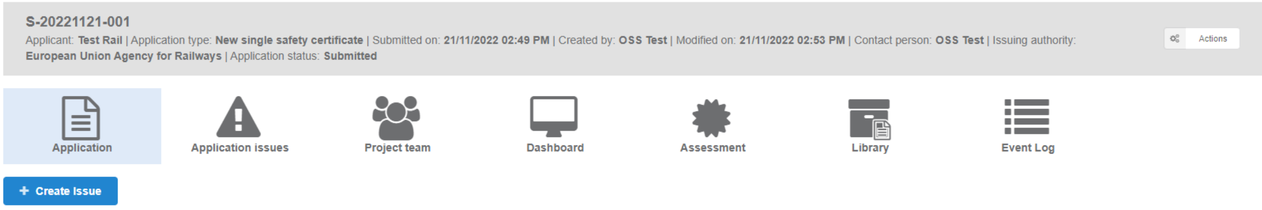

Figure 32: General application information and navigation icons

In this page, the upper part (within the grey ribbon) 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 status of the application.

The icons below, allow navigation to the rest of the application pages, as detailed in the next sections. The rest of the page allows navigation to the detailed application information, as shown in Figure 33.

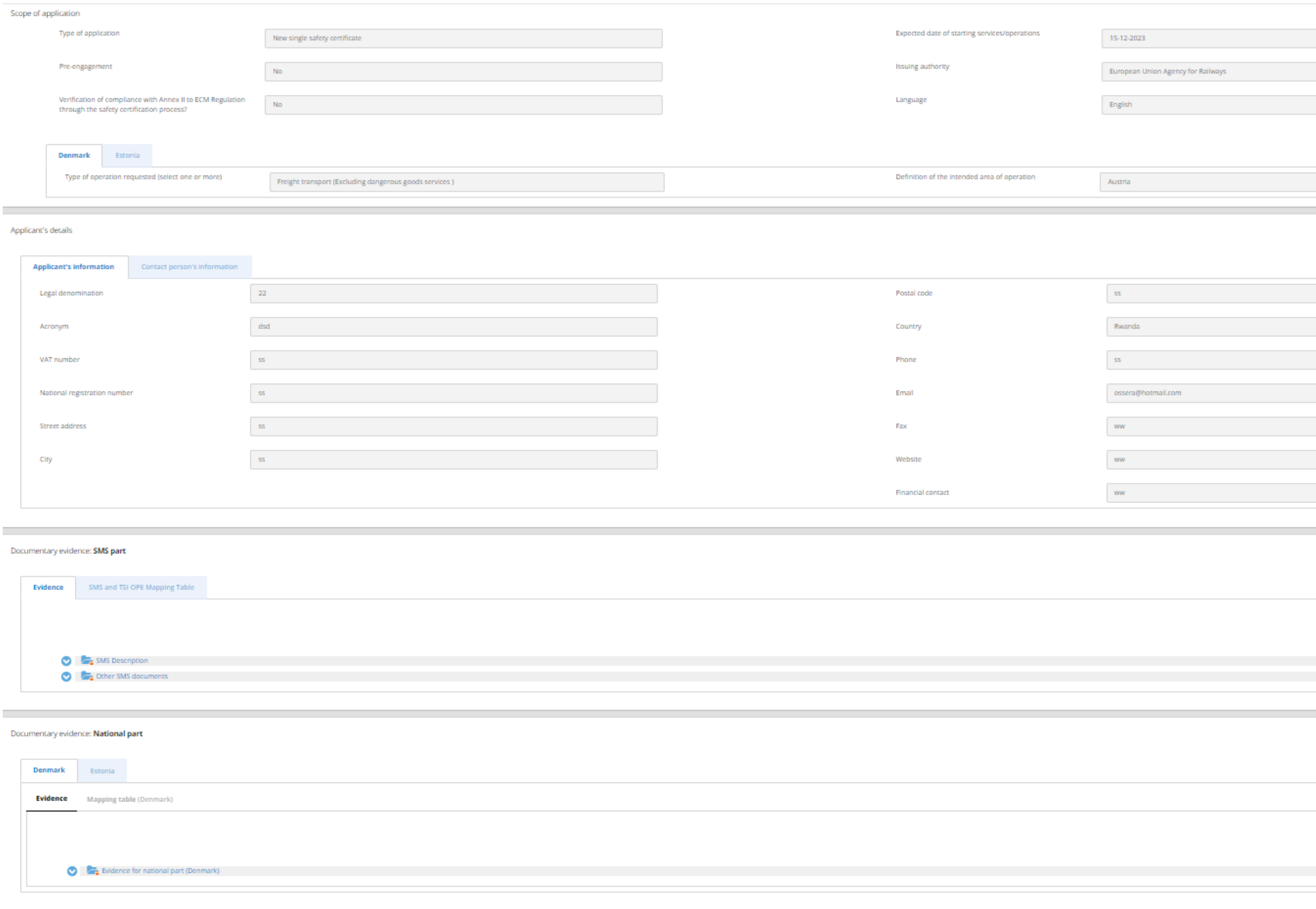

Figure 33: Details of an application

3.3.2. Application issues

In this page, the user can find all the issues that have been created for the specific application. For details on creating and managing application issues, see section 5.

3.3.3. Project team

In this page, the user 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 34. The user can also copy the email address of the project team members of an application as shown in Figure 35. The specific application roles are Project Manager, Assessor, Assuror, Decision Maker, Observer and Applicant. For details on how a PgM assigns the team, see section 4.2.1

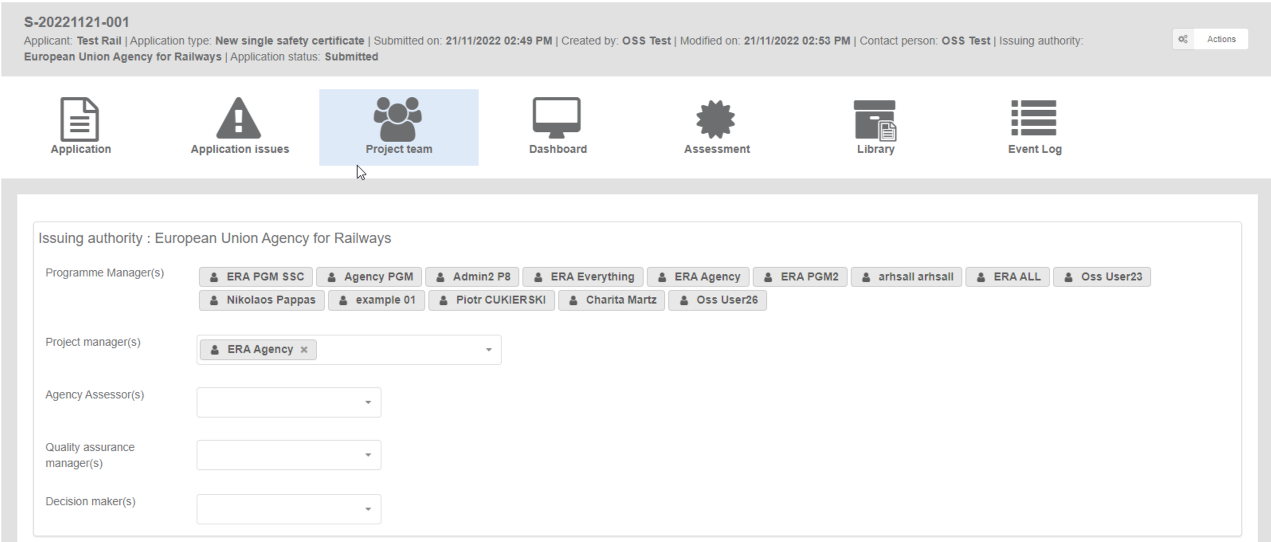

Figure 34: Project team

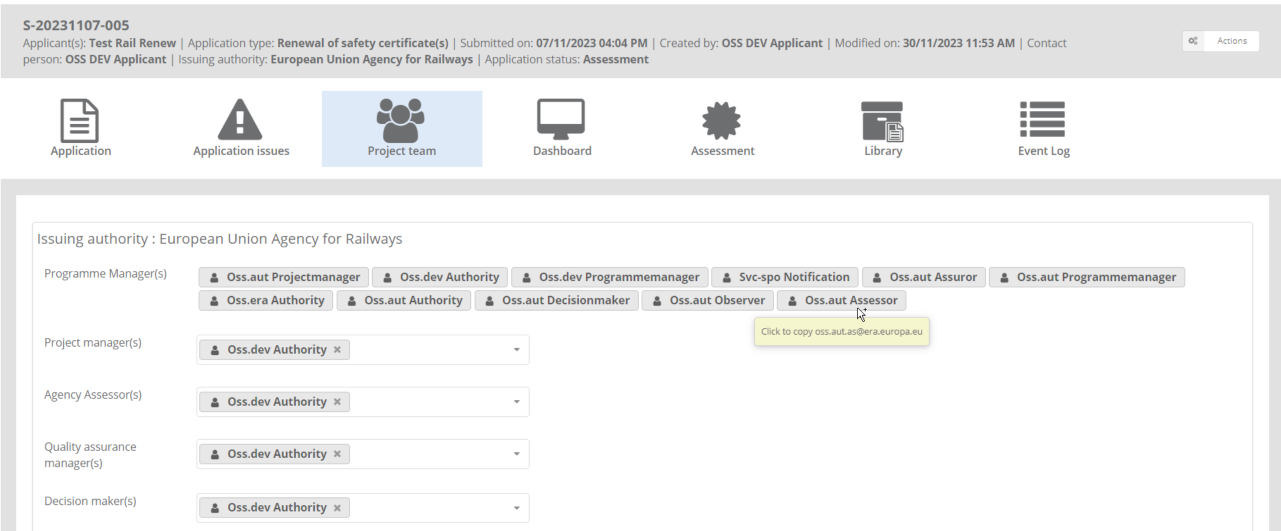

Figure 35: Copy the email of the Project team

3.3.4. Dashboard

The dashboard is the section where the important dates (milestones) of each application, as well as the application status are displayed. The application status is calculated automatically based on the current assessment phase and the respective actions by the Project Manager. Each milestone is usually defined by a planned and an actual date, as shown in Figure 36. For details on the actions, which the PM can perform in the dashboard, see sections 4.3.10 and 4.3.11.

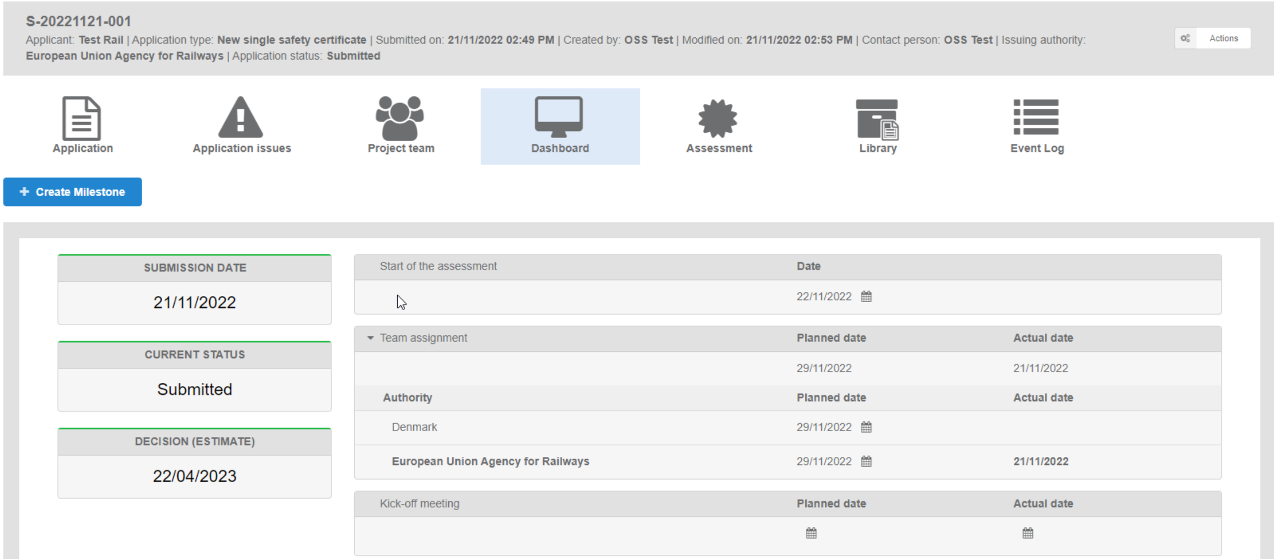

Figure 36: Dashboard

3.3.5. *Assessment*

Assessment tab shows all the reports that are completed during the assessment of an application. Assessment reports are different for each business domain (i.e. VA, SSC and TA). Their names might also differ between a VA application and a request for VA pre-engagement, or depending on who is the Safety Certification Body in SSC. The table in Table 2: lists the different reports available.

SSC application	VA application	VA pre-engagement	TA application
Initial screen	Completeness check	Completeness check	Preliminary verification of completeness
Detailed assessment	Detailed assessment	Detailed assessment	Detailed verification of completeness
Final assessment (or Recommendation when SCB=NSA)	Recommendation	Recommendation	Recommendation
Quality assurance	Conclusion	Conclusion	Quality assurance
Decision	Decision	Opinion	Decision

Table 2: Assessment reports

For more details on the content of each report, see section 4.

Figure 37 shows the main navigation to the assessment reports for a VA application.

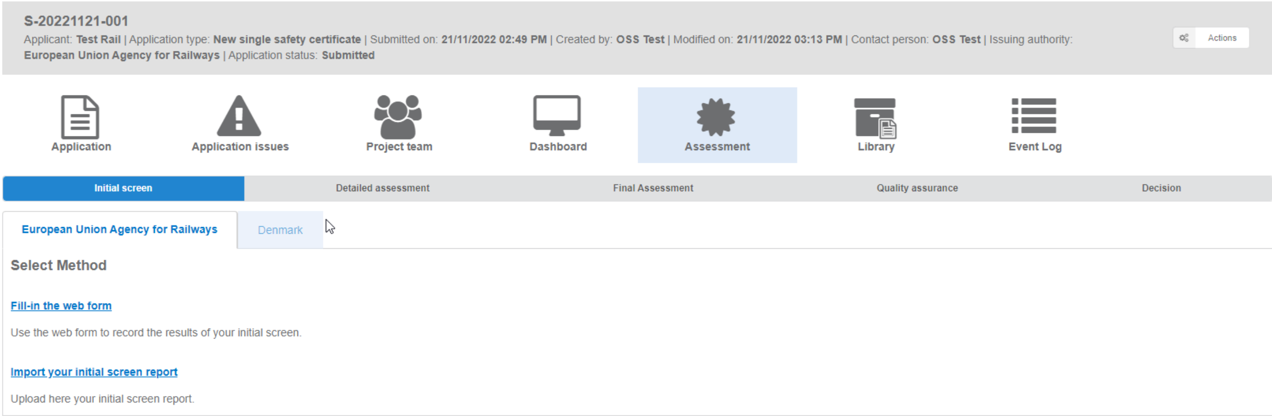

Figure 37: Assessment reports for VA application

3.3.6. Library

The library is the repository where all application information is stored. It contains all documents uploaded by the users, together with their pdf version (both for the application file and the assessment file) as well as pdf versions of all web forms. The library information and functionality can be accessed according to the user's access rights as shown in Figure 38.

- Browse application information through a tree-like structure of folders and follow 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).

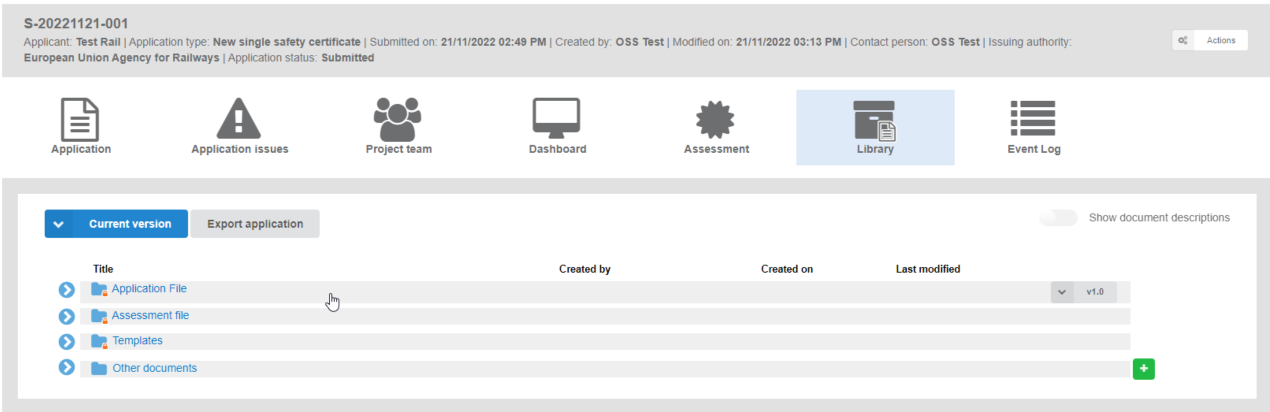

Figure 38: Library

The relevant user can upload files by clicking on the + button in the relevant folder as shown in Figure 38. After the upload, the user can see the details of the file, as shown in Figure 39, by clicking on the "Show documents description" radio button or can download a file by using the "Download document" button as shown in Figure 40.

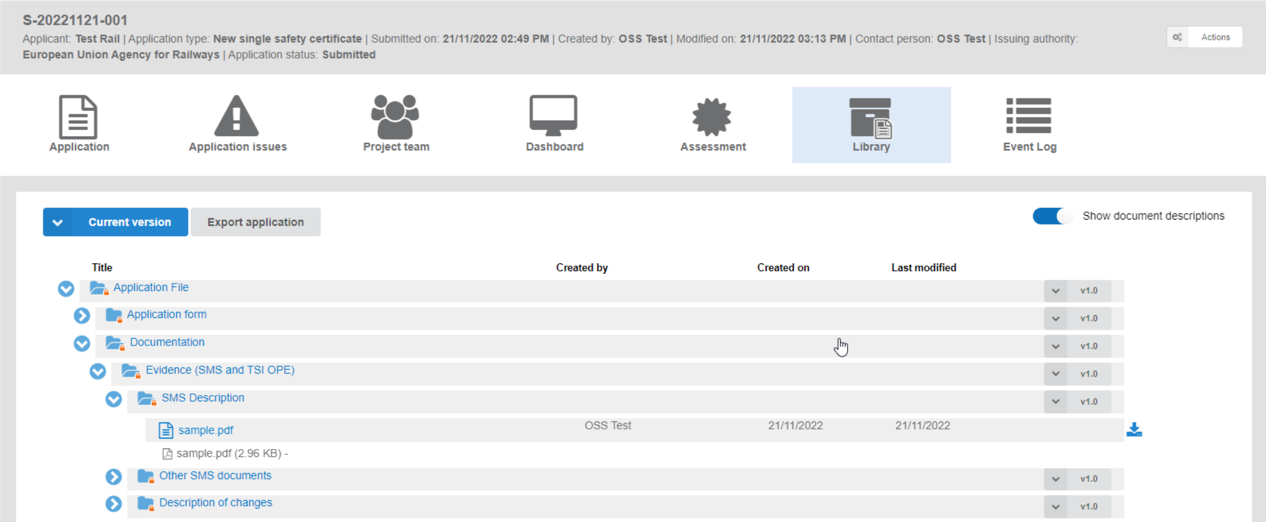

Figure 39: Show document descriptions radio button

Figure 40: Download button

The user can select the version of the uploaded document, shown in Figure 41.

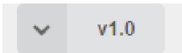

Figure 41: Select version button

The user 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/she can view all the uploaded files that have been added to this current version from the time of submission and after.

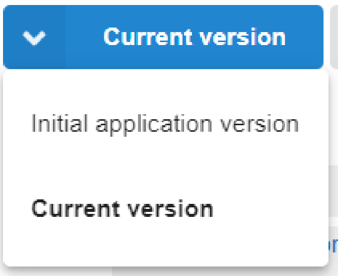

Figure 42: Current version button

If the user selects the “Export application” button as shown in Figure 43, the system downloads all uploaded files of the application in a zip folder.

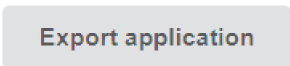

Figure 43: Export application button

3.3.7. Event log

The event log is a detailed list of user actions during the lifecycle of an application. The events log exists only after application submission and is filtered according to the access rights of the user, as shown in Figure 44. The following 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
- Role
- Action/event
- Details

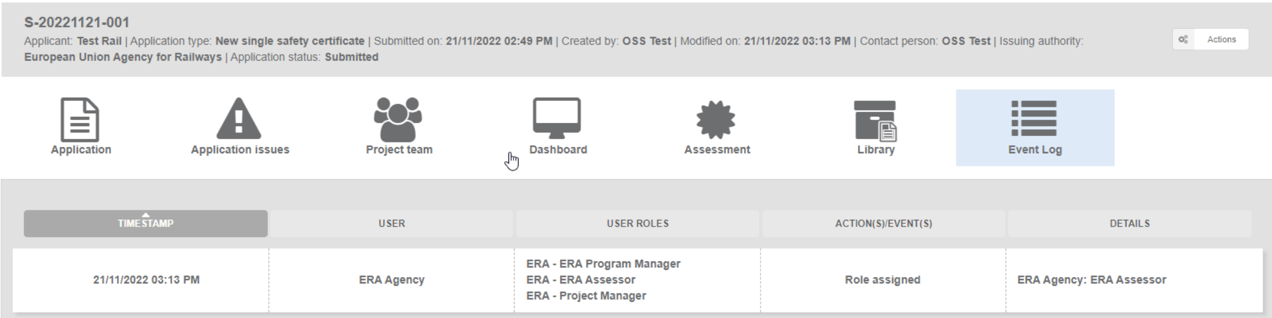

Figure 44: Main screen of event log

4. Assessment

The assessment team includes the users that are responsible to carry out the assessment of the application and make a decision or refuse an application. The members of the assessment team are:

- Programme manager (PgM)
- Project Manager (PM)
- Assessor (AS)
- Assuror (AR)
- Decision Maker (DM)

Each one of these roles must perform specific actions for each one of the assessment activities. In the following sections, the tasks of all members of the assessment team are described for all business domains (SSC, VA, TA) and all application types.

4.1. Online vs offline documents

Before entering the individual tasks for each one of the roles, it is worth explaining the two available methods for preparing and submitting reports. For each one of the reports, the first option is to select the preferred method of work. The screen will look similar to the one in Figure 45.

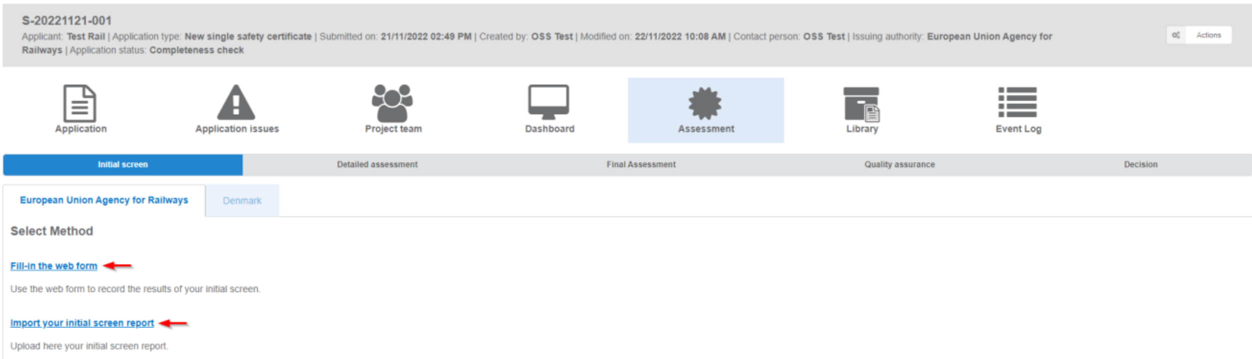

Figure 45: Select method

4.1.1. *Online documents (Fill-in web forms)*

By selecting “Fill-in the web form”, a page similar to the one in Figure 46 is displayed.

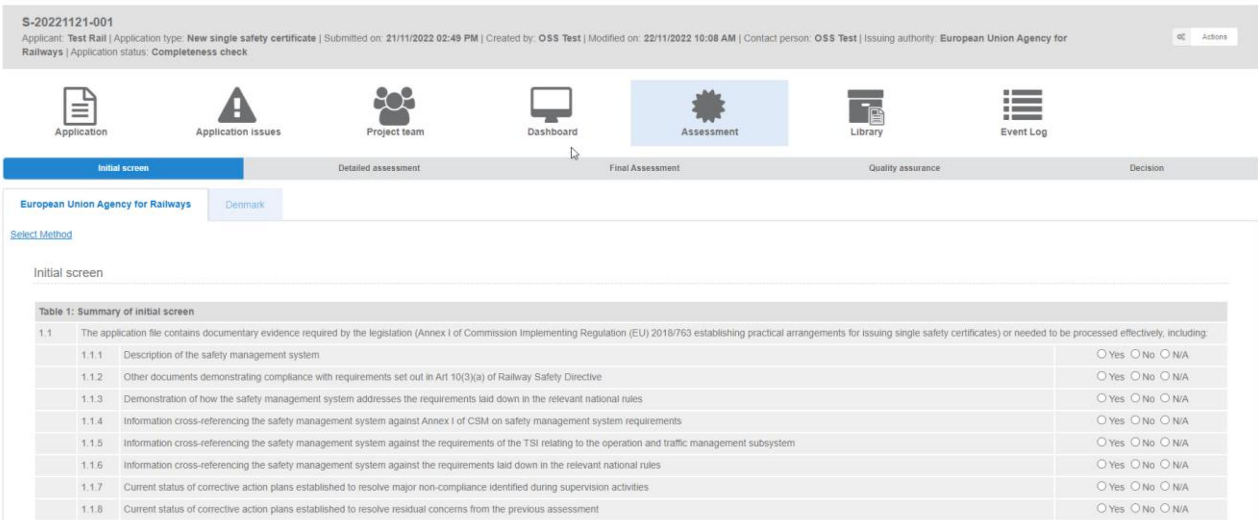

Figure 46: Example of a web form report

The web forms consist of user interface elements by which the user records the appropriate information for creating a report, such as:

- Text box areas, to type in text;

- Multiple selection radio buttons, to select one of the possible values (e.g. Yes/No);
- Picklists, or drop-down menus, to select one of the possible values;
- Buttons to import information from other pages (e.g. to add application issues);
- Buttons to attach documents.

With this method, the user creates the report online, and has the option to save the current work and return at a later point in time to continue. The "save" option can be found at the bottom of the web from page, similarly to what is displayed in Figure 47.

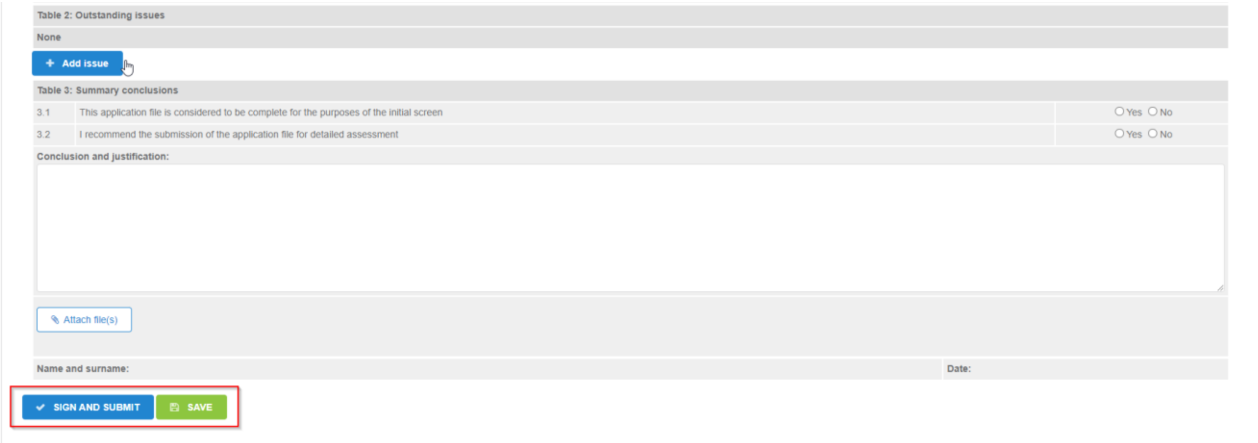

Figure 47: Sign/submit and save options for a web form report

While in draft status, only the users themselves and the users with the same role can edit the report information. Once the drafting of the report is completed, the user may select to submit it, so it is finalised and can become available to the other assessment team members. Once a report is signed and submitted, its information cannot be amended anymore, unless a user with the appropriate access rights requests for its update.

The option to sign and submit can be found at the bottom of the web from page, similarly to what is displayed in Figure 47. Once this option is selected, a page similar to the one in Figure 48 is displayed.

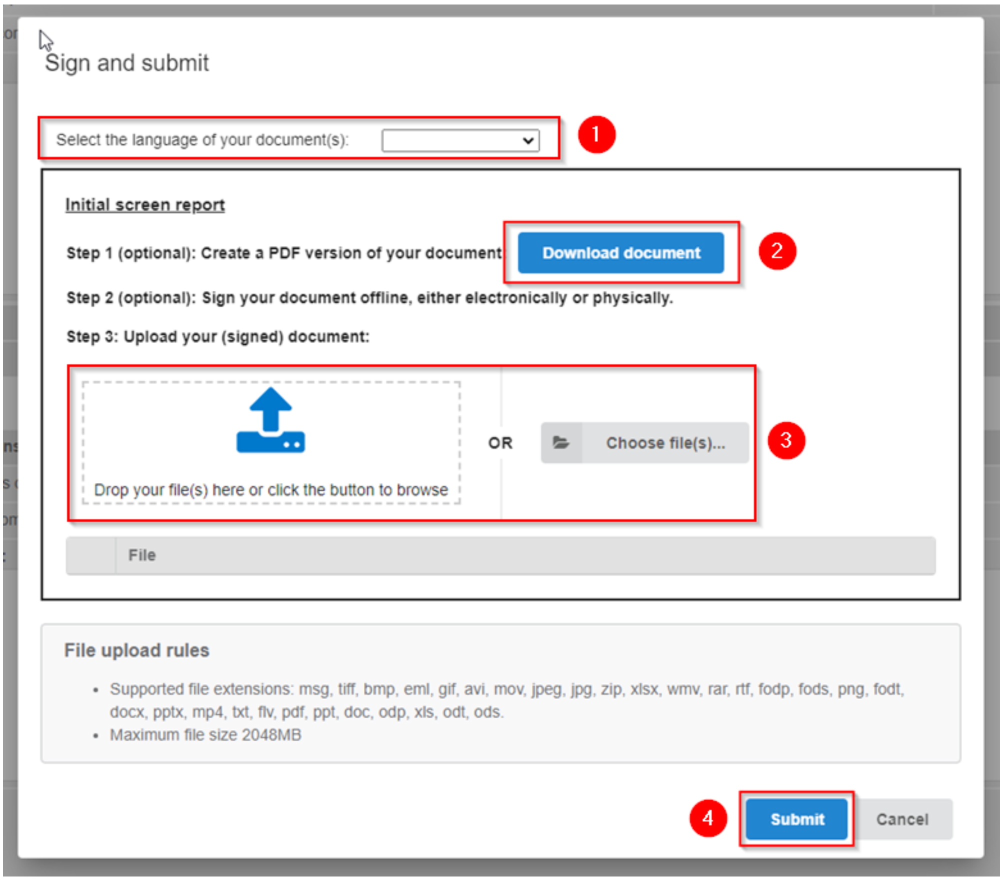

Figure 48: Download and submit a web form report

To proceed the user must:

1. Select the language in which the report should be created. This has an effect on the pre-defined text (i.e. labels) of the report, and not on the information that the user has typed in.
2. Select to download the automatically created file. This action will download a PDF version of the report on the user's device. Locate the document and either:
    a. Open it, sign it electronically and save it, OR
    b. Open it, print it, apply a hand-written signature, and scan it.
3. Choose the signed document and upload it.
4. Select "Submit".

Once the report is submitted, the name and surname of the user who submitted the report are displayed at the bottom of the page, as well as the submission date, similarly to Figure 49.

Figure 49: Web form submission confirmation

4.1.2. Offline documents (Import files)

The second option for drafting and submitting a report consists of preparing the document(s) offline and uploading them on to the system. From a page similar to the one in Figure 45, and by selecting the “Import” option, a page similar to the one in is displayed.

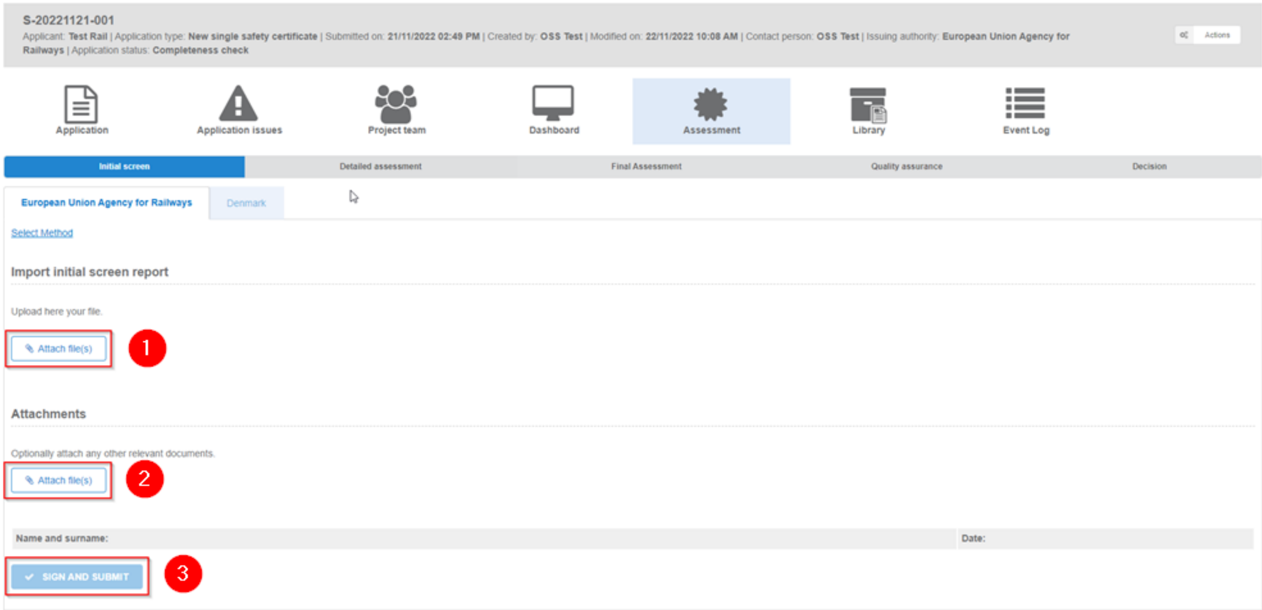

Figure 50: Import offline prepared report

To proceed, the user may:

1. Attach the offline prepared report.
2. Attach any other relevant documents.
3. Select to submit the report.

Once the report is submitted, the name and surname of the user who submitted the report are displayed at the bottom of the page, as well as the submission date, similarly to Figure 49.

4.2. Tasks for Program Managers (PgM)

4.2.1. Assign team

The Programme Manager (PgM) is responsible to assign the assessment team of their organisation, either as AE or as an NSA. Initially the PgM receives a notification of the new application. At the same time, a Task is created and displayed in “My Work” section. Following any navigation path, the PgM must arrive to the “Project team” page (Figure 51) and assign the team members for the application. Later on, through the same page, it is possible to update/change an already assigned team. The specific roles to assign are Project Manager (PM), Assessor (AS), Assuror (AR), Decision Maker (DM), Observer (OB).

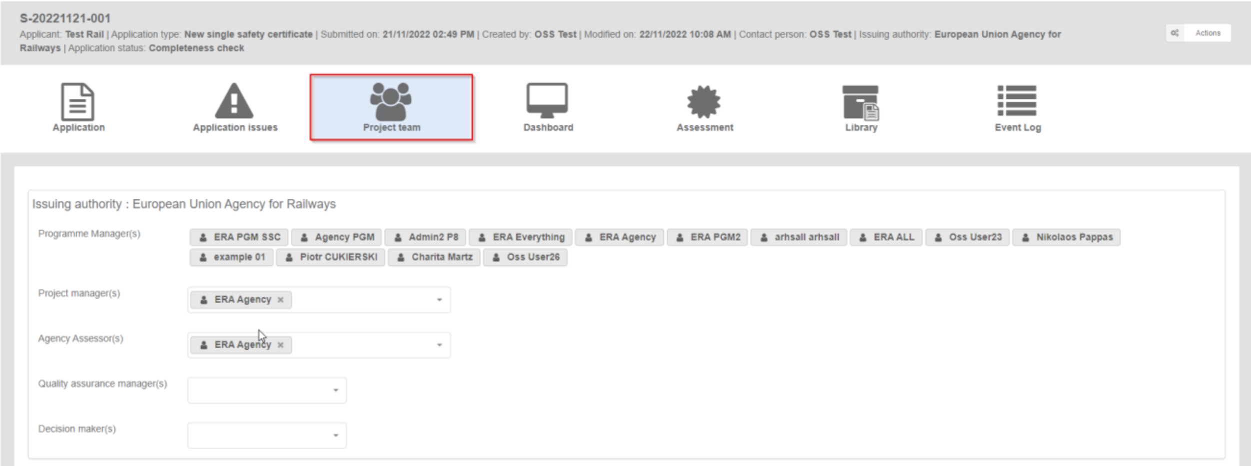

Figure 51: Project team page

To achieve the assignment, the PgM selects the users for each one of the roles from the dropdown lists available to each one of the sections of the Project team page. The PgM must ensure at least one Project Manager (PM), one Assessor (AS), one Assuror (AR) and a Decision Maker (DM) are assigned, and selects "Save" at the bottom of the page. A user may be assigned in more than one roles. The system displays a message that the form is saved.

In the cases where ERA is the Issuing Authority, the NSA PgM must additionally assign the Assessor(s) of their Member State. If the Issuing Authority is one of the NSAs, the assignment of all the roles is made only by the NSA PgM. The ERA-PgM and NSA-PgM have access to view all other application information in a read only mode.

If there is unsaved information when trying to navigate away from the page, a warning message is displayed, as shown in Figure 52.

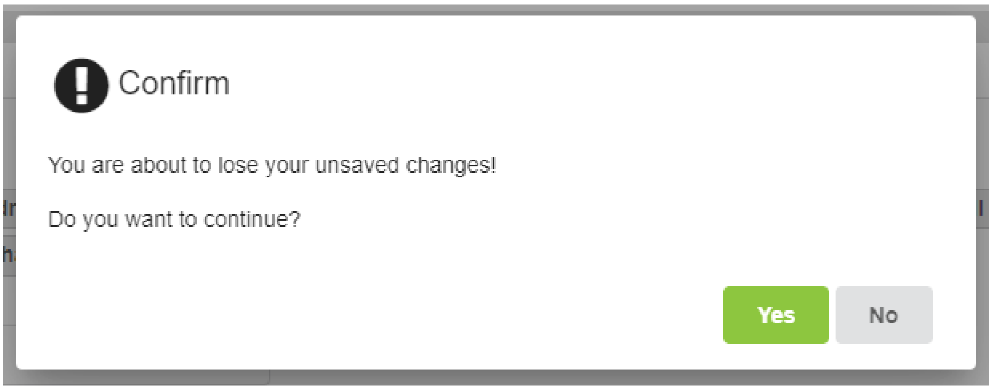

Figure 52: Warning message about unsaved information

After the assignment, all involved members of the assessment team receive a notification about their assignment.

Exceptionally, in TA, the NSA PgMs receive the notification of the submission of application, but only assign the role of Observer to their team. There are no Assessors, Assurors and Project Managers for the NSAs.

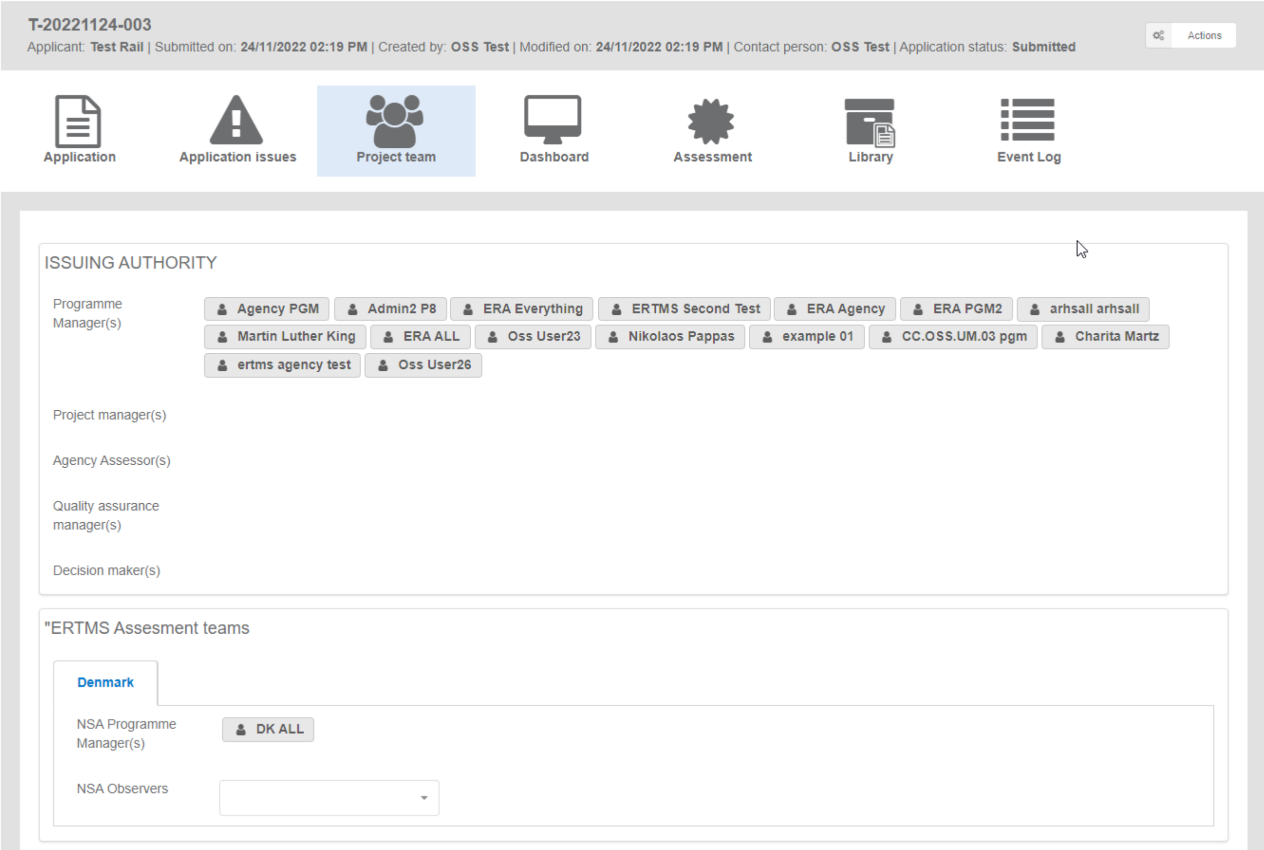

Figure 53: Programme Manager TA roles

4.3. Tasks for Project Managers (PM)

4.3.1. Submit Final Assessment (SSC)

The Project Manager (PM) is responsible for submitting the Final Assessment report. Initially the PM receives a notification of the new application assignment. At the same time, the Task about the submission of the reports has been opened in “My Work” section as shown in Figure 24. An alternative navigation path to the report page is through “Assessment” tab.

In that page, the PM can edit the “Final Assessment”, the “Cover Letter”, and the “Single Safety Certificate” (SSC), if one is to be issued.

In the “Final assessment tab”, the PM fills in all radio buttons with “Yes/No and N/A”. The “Cover letter” is already filled in, although it is editable. He/She can also, upload/ attach any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button. If the user leaves empty required fields, then the system allows him to click only on “Save” button. The submission is not possible. If the PM selects to Submit the Final Assessment report no other changes can be made.

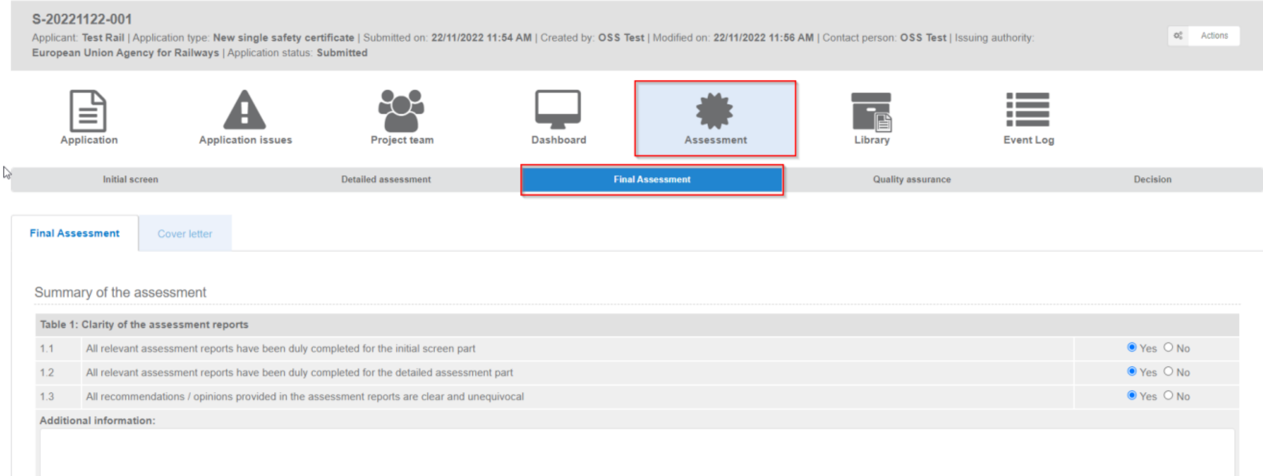

Figure 54: Final Assessment report

If the PM selects to insert any application issues in table 3 (Figure 55), then the system will display a list of the issues form the issues log, and allow for selecting any of them, as shown in and Figure 56.

Figure 55: Final Assessment report - Add issue from the issues log

The PM selects the application issue which should be added in the report and selects the “Add Issue(s)” button.

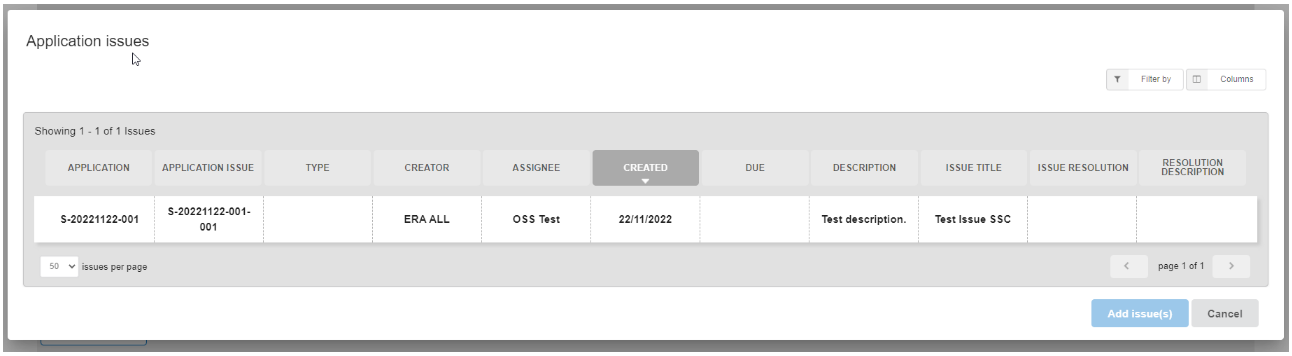

Figure 56: Add issue from the issues log

If the PM wants to delete the uploaded issue, he/she can click on “Delete” button.

Figure 57: Delete button

Then, the system displays the below confirmation message:

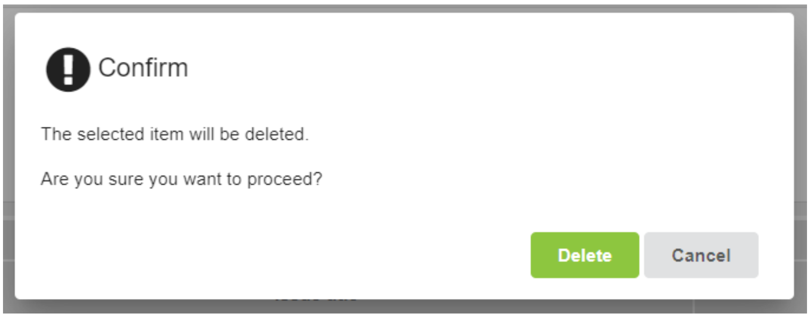

Figure 58: Confirmation message for the deletion of an issue

If the PM selects the “Yes” radio button in the option “Recommendation / 1.1 I recommend that the single safety certificate is issued”, the system displays an extra tab except from the Final Assessment and the Cover letter. This tab is the Single Safety Certificate (SSC) as shown in Figure 60.

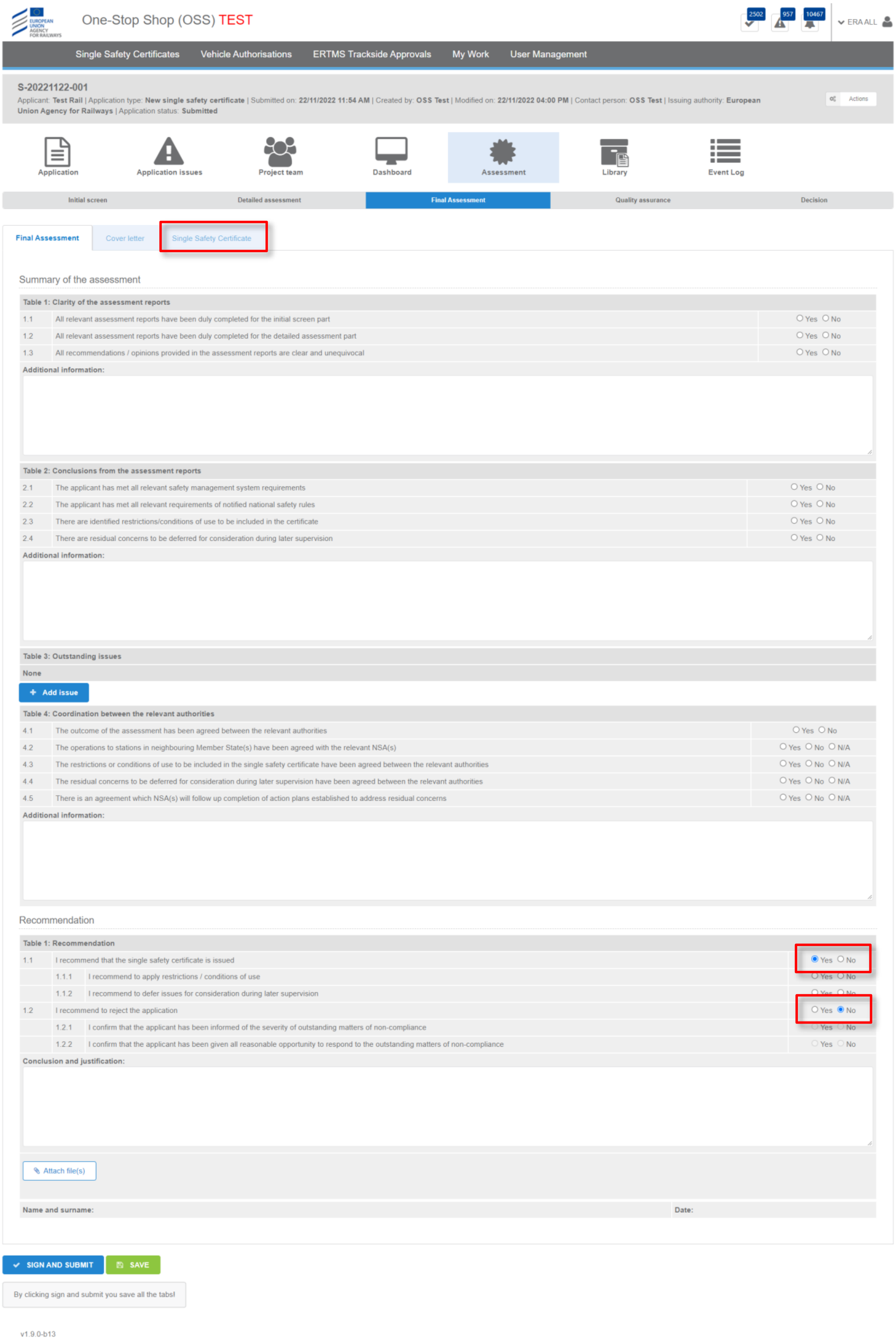
One-Stop Shop (OSS) TEST
Single Safety Certificates
Vehicle Authorisations
ERTMS Trackside Approvals
My Work
User Management
S-20221122-001
Applicant: Test Rail | Application type: New single safety certificate | Submitted on: 22/11/2022 11:54 AM | Created by: OSS Test | Modified on: 22/11/2022 04:00 PM | Contact person: OSS Test | Issuing authority: European Union Agency for Railways | Application status: Submitted
Application
Application issues
Project team
Dashboard
Assessment
Library
Event Log
Initial screen
Detailed assessment
Final Assessment
Quality assurance
Decision
Final Assessment
Cover letter
Single Safety Certificate
Summary of the assessment
Table 1: Clarity of the assessment reports
1.1 All relevant assessment reports have been duly completed for the initial screen part
1.2 All relevant assessment reports have been duly completed for the detailed assessment part
1.3 All recommendations / opinions provided in the assessment reports are clear and unequivocal
Additional information:
Table 2: Conclusions from the assessment reports
2.1 The applicant has met all relevant safety management system requirements
2.2 The applicant has met all relevant requirements of notified national safety rules
2.3 There are identified restrictions/conditions of use to be included in the certificate
2.4 There are residual concerns to be deferred for consideration during later supervision
Additional information:
Table 3: Outstanding issues
None
Add issue
Table 4: Coordination between the relevant authorities
4.1 The outcome of the assessment has been agreed between the relevant authorities
4.2 The operations to stations in neighbouring Member State(s) have been agreed with the relevant NSA(s)
4.3 The restrictions or conditions of use to be included in the single safety certificate have been agreed between the relevant authorities
4.4 The residual concerns to be deferred for consideration during later supervision have been agreed between the relevant authorities
4.5 There is an agreement which NSA(s) will follow up completion of action plans established to address residual concerns
Additional information:
Recommendation
Table 1: Recommendation
1.1 I recommend that the single safety certificate is issued
1.1.1 I recommend to apply restrictions / conditions of use
1.1.2 I recommend to defer issues for consideration during later supervision
1.2 I recommend to reject the application
1.2.1 I confirm that the applicant has been informed of the severity of outstanding matters of non-compliance
1.2.2 I confirm that the applicant has been given all reasonable opportunity to respond to the outstanding matters of non-compliance
Conclusion and justification:
Attach file(s)
Name and surname:
Date:
SIGN AND SUBMIT
SAVE
By clicking sign and submit you save all the tabs!
v1.9.0-b13

Figure 59: Final assessment report SSC

The Single Safety Certificate (SSC) is already filled in and there are some fields that allow for further editing as shown in Figure 60.

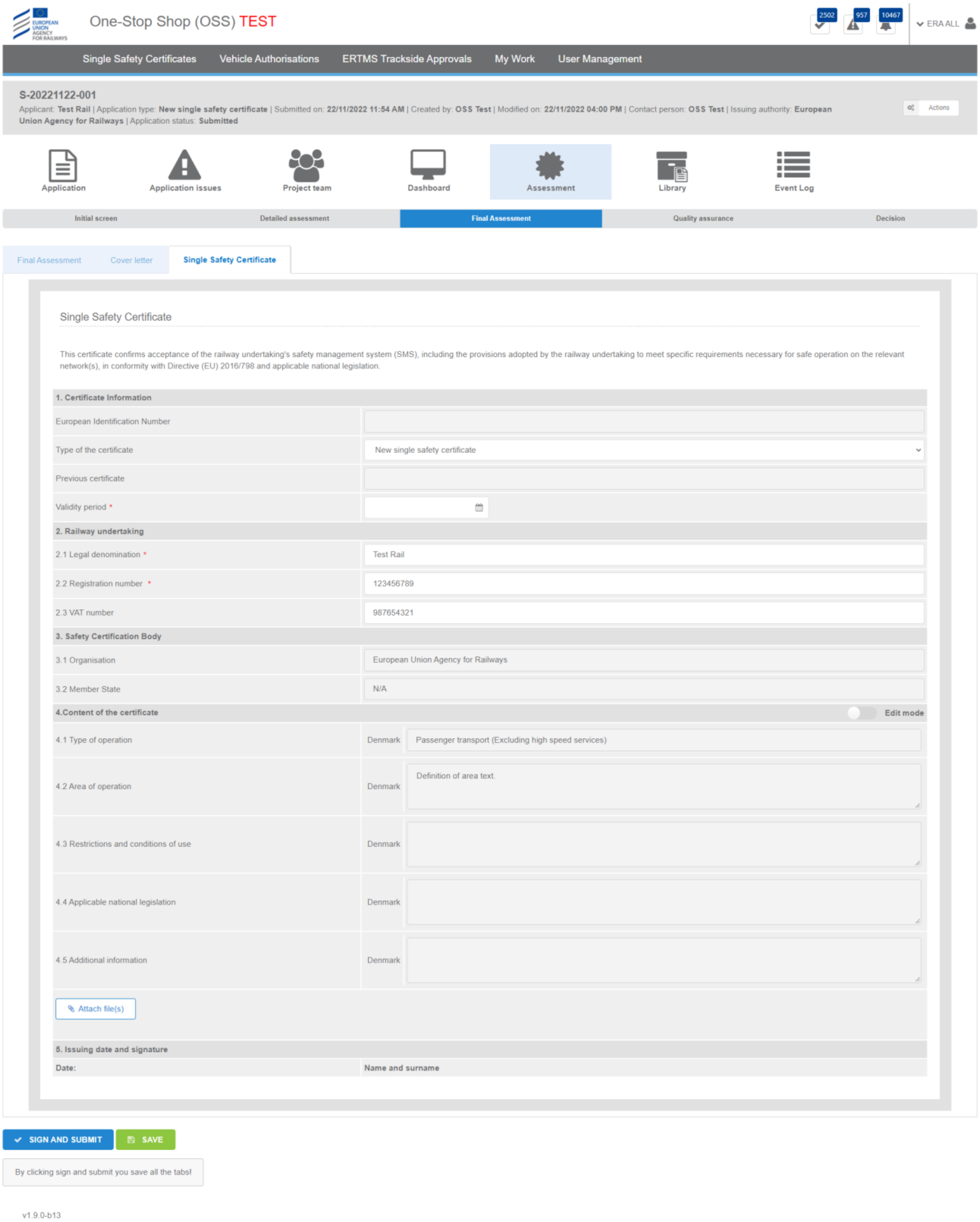

Figure 60: Final assessment report

For all the mandatory fields (with red asterisk) 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. If mandatory fields are left empty, the report can be saved but not submitted. To save the report, the PM selects the “Save” button as shown in Figure 94. In this case, the report can be further updated.

To submit the report, the PM clicks on “Sign and Submit” button as shown in Figure 61.

Figure 61: Sign & Submit button

If the PM clicks on “Sign and Submit” button, the system displays a pop-up window. The PM selects the language in which the report is to be issued, as shown in Figure 107. After selecting the language, the PM selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. The report is submitted, and no other changes can be made.

A confirmation message is displayed upon successful submission. The system notifies the DM and all involved members of the assessment team. The status of the application is changed to "Decision". The Final Assessment report, the draft cover letter and the draft Single Safety certificate (if it is to be issued) are stored in the decision folder of the library section of the application.

4.3.2. Submit Recommendation and Draft Authorisation (VA)

The PM is responsible to recommend a decision and prepare an authorisation in VA cases. To do that, the PM chooses to view an application, clicks on the tab “Assessment”, and then navigates to “Recommendation” tab. The PM fills in all mandatory fields (with red asterisk) on the tabs “Recommendation” and “Recommendation Cover Letter” and uploads/ attaches any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button. If the user leaves empty required fields, then the system allows him to click only on “Save” button. The submission is not possible. The tabs “Authorisation report” and “Authorisation Cover Letter” are editable by the PM, if he/she wants to add more information, only after the submission of the Recommendation. After the submission of the Recommendation, the Task for the submission of Authorisation Reports opens.

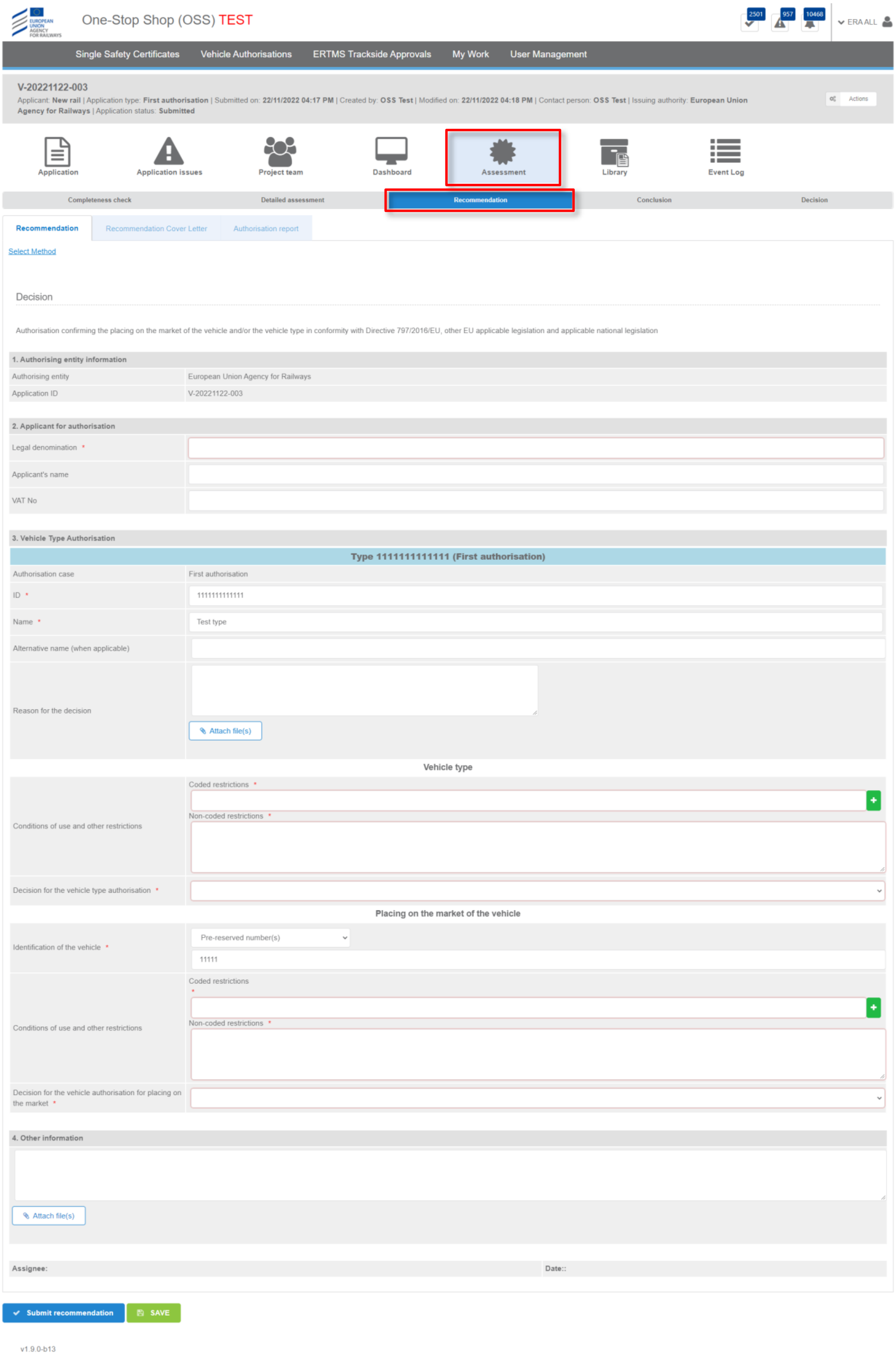
One-Stop Shop (OSS) TEST
2501
957
10468
ERA ALL
Single Safety Certificates
Vehicle Authorisations
ERTMS Trackside Approvals
My Work
User Management
V-20221122-003
Applicant: New rail | Application type: First authorisation | Submitted on: 22/11/2022 04:17 PM | Created by: OSS Test | Modified on: 22/11/2022 04:18 PM | Contact person: OSS Test | Issuing authority: European Union Agency for Railways | Application status: Submitted
Actions
Application
Application issues
Project team
Dashboard
Assessment
Library
Event Log
Completeness check
Detailed assessment
Recommendation
Conclusion
Decision
Recommendation
Recommendation Cover Letter
Authorisation report
Select Method
Decision
Authorisation confirming the placing on the market of the vehicle and/or the vehicle type in conformity with Directive 797/2016/EU, other EU applicable legislation and applicable national legislation
1. Authorising entity information
Authorising entity
European Union Agency for Railways
Application ID
V-20221122-003
2. Applicant for authorisation
Legal denomination *
Applicant's name
VAT No
3. Vehicle Type Authorisation
Type 1111111111111 (First authorisation)
Authorisation case
First authorisation
ID *
1111111111111
Name *
Test type
Alternative name (when applicable)
Reason for the decision
Attach file(s)
Vehicle type
Coded restrictions *
Conditions of use and other restrictions
Non-coded restrictions *
Decision for the vehicle type authorisation *
Placing on the market of the vehicle
Identification of the vehicle *
Pre-reserved number(s)
11111
Coded restrictions
Conditions of use and other restrictions
Non-coded restrictions *
Decision for the vehicle authorisation for placing on the market *
4. Other information
Attach file(s)
Assignee:
Date::
Submit recommendation
SAVE
v1.9.0-b13

Figure 62: Recommendation-Authorisation reports

If the PM selects from the dropdown list, in the section "Decision for the vehicle authorisation for placing on the market, the choice "Refused" or "Fundamentally Deficient", the tabs "Authorisation report" and "Authorisation Cover Letter" disappear.

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.

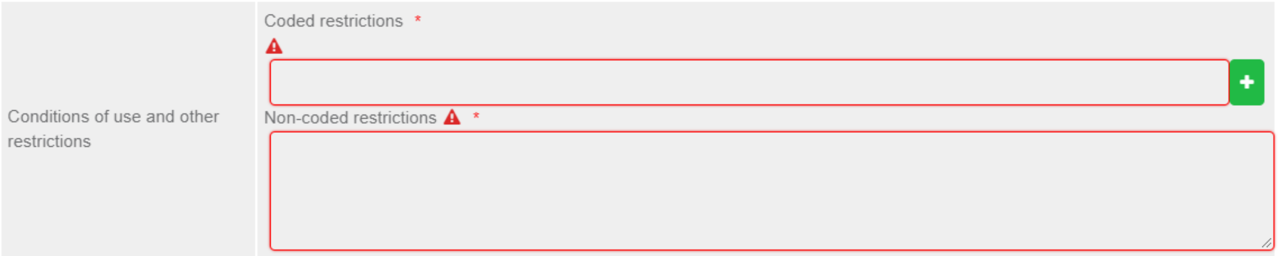

Figure 63: Alerts and fields in error

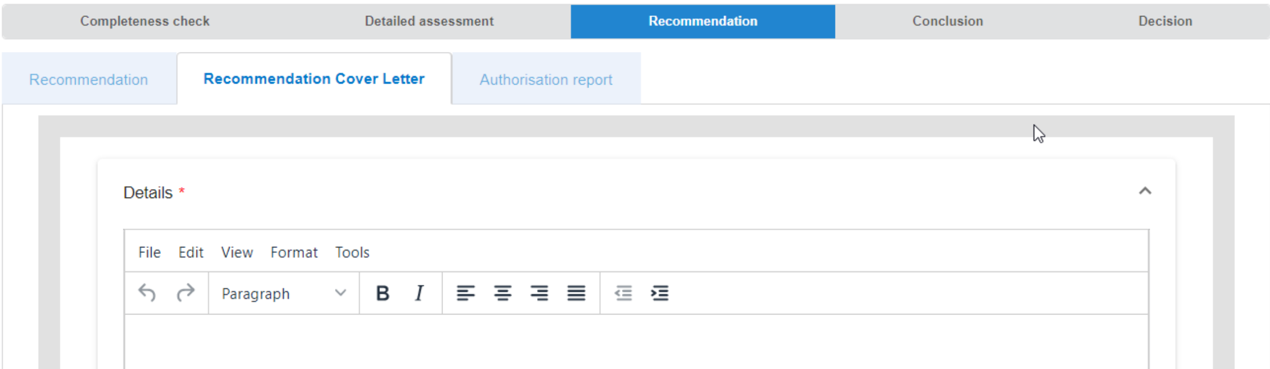

Figure 64: Recommendation Cover letter VA

If the PM clicks on "Submit Recommendation report" button, the system displays a pop-up window as shown in Figure 112. The PM selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. The report is submitted, and no other changes can be made.

4.3.3. Request Appeal (VA)

Upon the completion of the VA application assessment, PM may request appeal of the application by clicking the Actions button, as shown in Figure 65: Request Appeal and upon confirmation through a dialog window, he/she may upload the necessary documents for the appeal, as show in Figure 66: Request Appeal document upload.

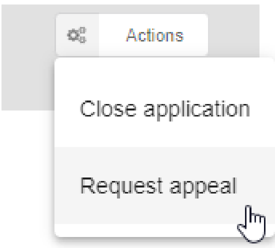

Figure 65: Request Appeal

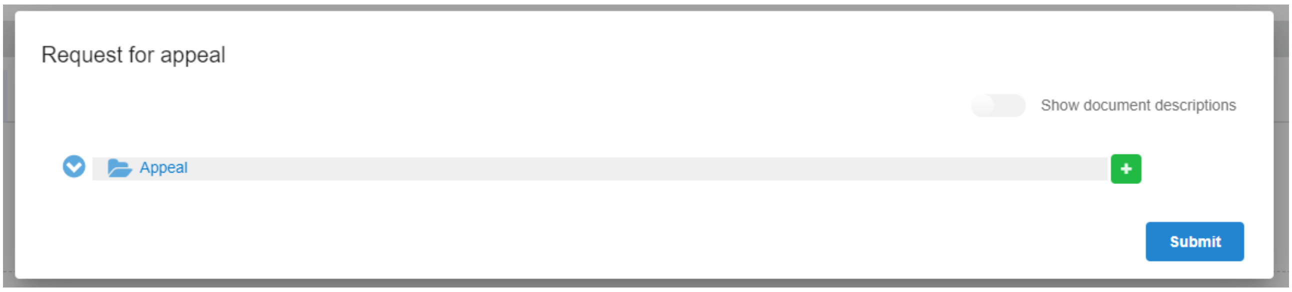

Figure 66: Request Appeal document upload

4.3.4. *Request Appeal termination (VA)*

Upon the completion of the Appeal process, PM may request the termination of the appeal by clicking the Actions button, as shown in Figure 67: Request Appeal termination

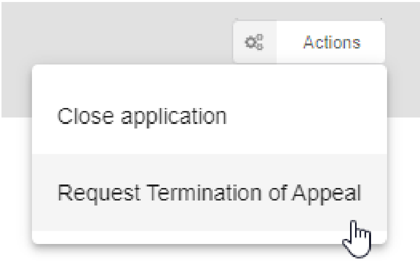

Figure 67: Request Appeal termination

4.3.5. *Submit Recommendation (TA)*

The PM fills in all mandatory fields (with red asterisk) on the tabs “Recommendation” and “Cover Letter”. If the PM leaves empty required fields, then the system allows him to click only on “Save” button. The submission is not possible.

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 68: Alerts and fields in error

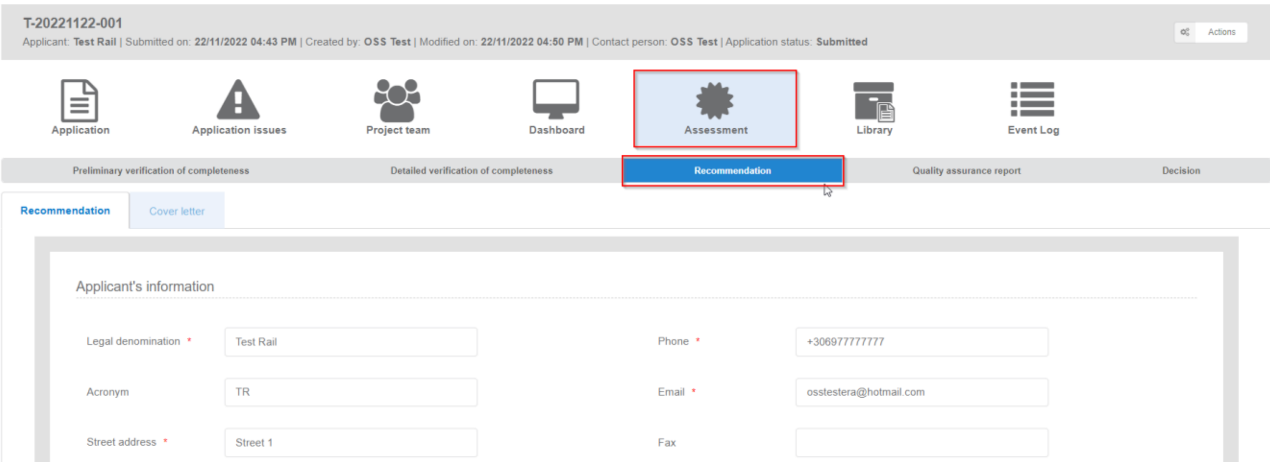

Figure 69: TA Recommendation report

If the PM selects the "Positive" or "Negative" choices from the dropdown list in the field "Status", the Recommendation form is the same as in shown in Figure 69.

In case that the choice is "Positive with conditions", from the dropdown list, the system displays another field "Conditions" which is mandatory. He/She can add more condition fields by clicking on "+" button as shown in Figure 70.

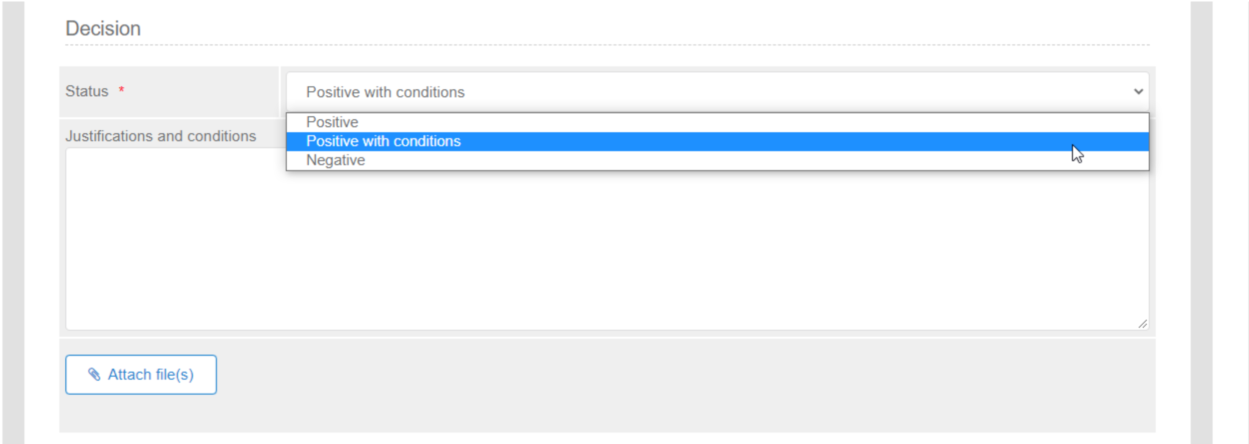

Figure 70: Recommendation report in TA

He/She can also, upload/ attach any files needed for the report by clicking the "Attach files" button and after by selecting the "+" button.

Such action displays the Add file(s) page, shown in Figure 90. Please note that the system accepts as valid uploads the ones described in the File upload rules.

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the messaged displayed in Figure 92 is shown.

The PM clicks on check box and after on "Attach files" button.

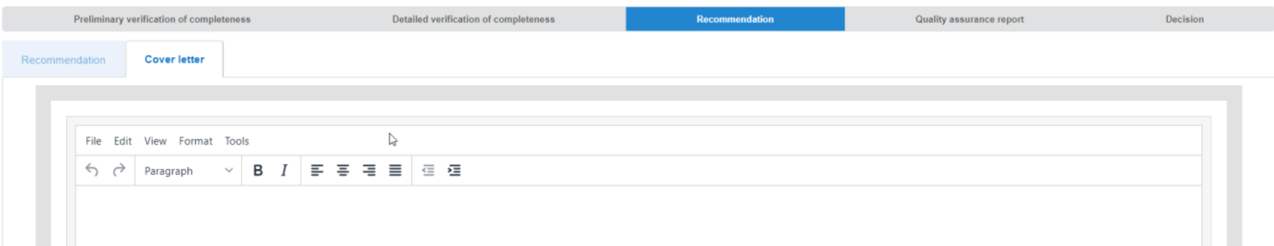

Figure 71: Cover letter in Recommendation report

To save the report, the PM clicks on "Save" button. In this case, he/she can further update the report.

If there is unsaved information, a warning message is displayed as shown in Figure 95.

If the PM clicks on "Submit" button, the system displays a pop-up window as shown in Figure 112. The PM selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. The report is submitted, and no other changes can be made. After the submission, the status of the application is changed to "Decision".

4.3.6. *Send acknowledgement of completeness*

When the Project Manager (PM) ensures that all authorities have declared the Initial Screen or Completeness Check reports as complete, and within one month after the start of assessment, it is required to acknowledge completeness to the applicant. The scope of this task is to inform the applicant that the application is complete and that the assessment has started.

To perform the action, the PM selects to “View” the application, navigates to “Actions” button and selects the “Send Acknowledgement of Completeness” option as shown in Figure 72. Then the system displays a pop-up window “Send Acknowledgement of Completeness”, and upon confirmation, the acknowledgement action is complete.

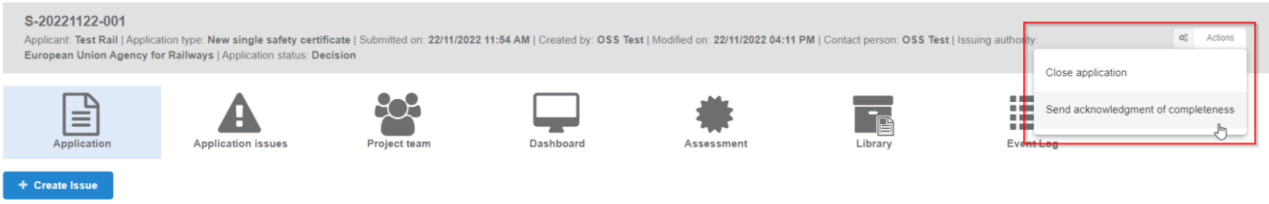

Figure 72: Send acknowledge of completeness

Following the action by the PM, the applicant and the assessment team are notified about the acknowledgement of completeness, and the application status changes to “Assessment”. Finally, for VA applications, a pdf is generated in the Library under the “Formal Communication” folder, which is visible to all users.

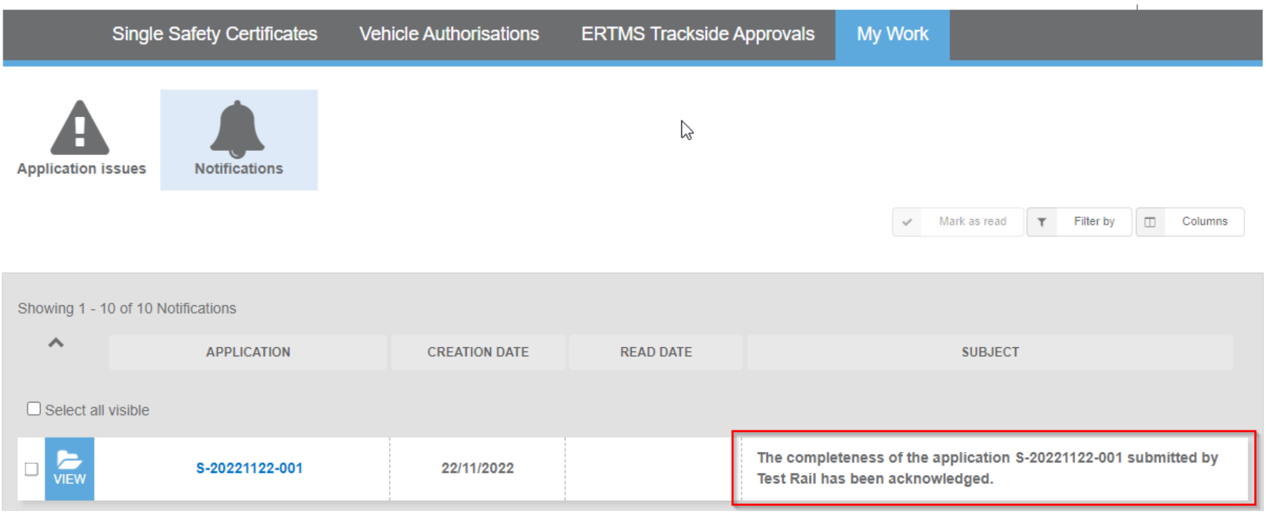

Figure 73: Notification message

4.3.7. Request update of reports

During the review of the Initial Screen (Completeness check for VA) and Detailed Assessment reports for SSC and VA and Initial-Detailed Completeness verification for TA, the PM may conclude that the reports must be updated by the AS. In this case, the PM can request the updates of the reports.

Specifically, the PM selects to “View” the application and clicks on “Assessment” tab and then on Initial Screen and/or Detailed Assessment reports. The PM selects the “Request update” button as shown in Figure 74. Following this action, the system notifies the related Assessor of this request. The relevant task is open for the Assessor in order to re-submit the report.

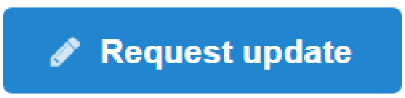

Figure 74: Request update

4.3.8. *Request Review termination*

Upon a Request for Review submission for the applicant, PM receives the relevant notification.

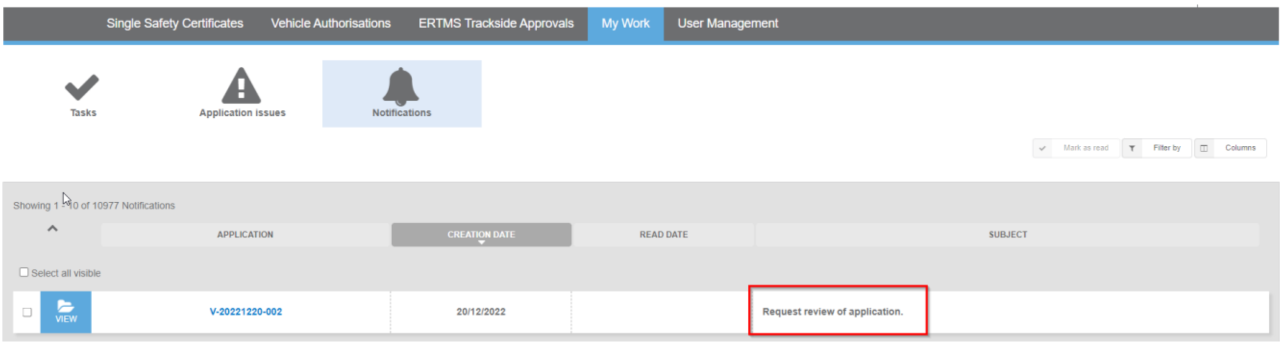

Figure 75: Request Review notification

After the necessary actions for the requested review, the Project Manager may terminate the review or send a new acknowledgment of completeness by clicking on the Actions button, as shown in Figure 76: Terminate review of application.

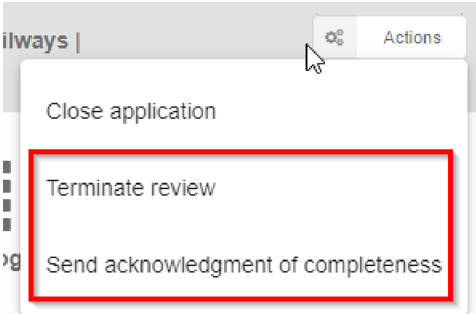

Figure 76: Terminate review of application

4.3.9. *Close application*

The Project Manager can proceed in normal closure of application or after a termination request by the applicant. In both cases the "Task" for the closure of application, opens in "My Work" section (Figure 24). Alternatively, the PM selects to "View" the application, navigates to "Actions" button, as shown in Figure 72, and selects the "Close application" option. The system displays a page similar to the one in Figure 77.

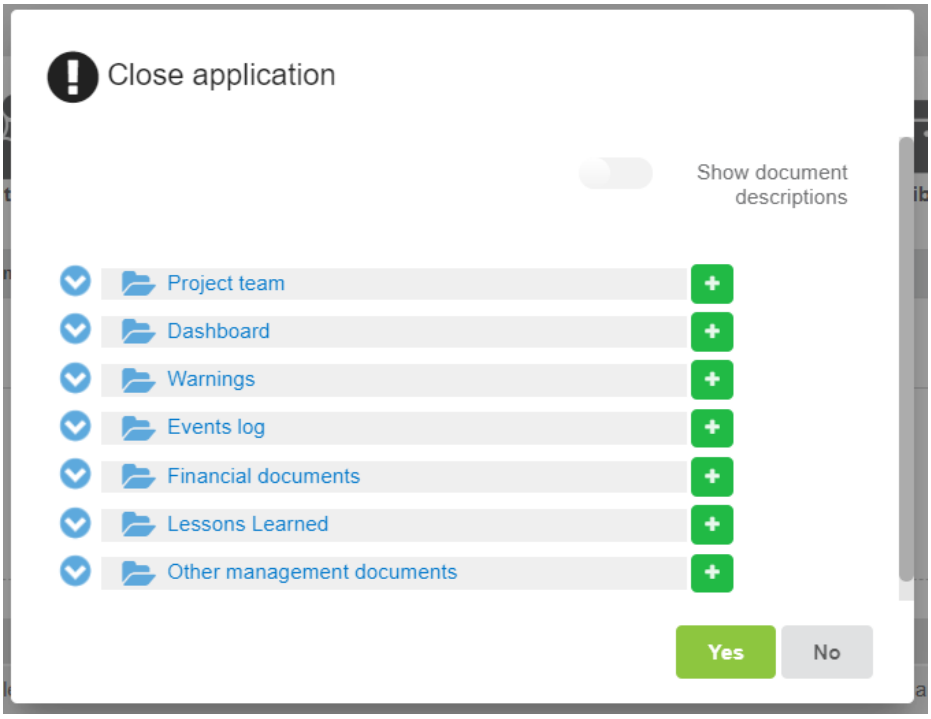

Figure 77: Close application pop-up window

The PM may provide/upload the corresponding documents in the Library (Figure 78), for the closure of application justifying the reason. After confirmation, the application has status “Closed” and no one can update it.

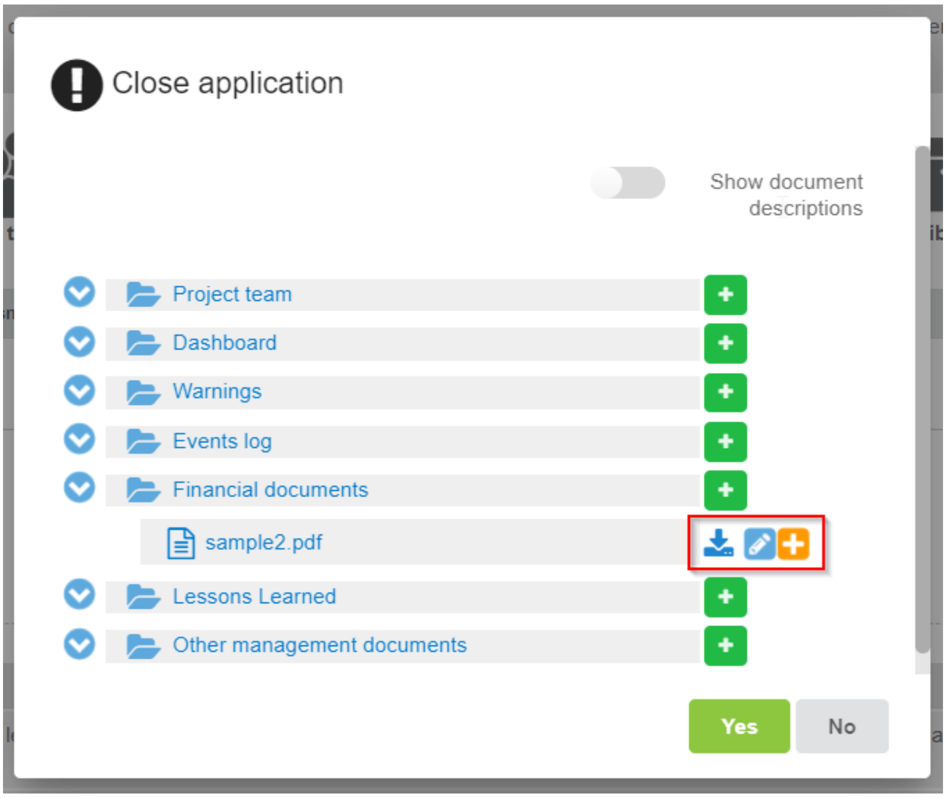

Figure 78: Close application adding a file

4.3.10. *Manage milestones*

The dashboard is the main tool for managing and communicating the important dates (milestones) of each application, as well as the application status. The application status is calculated automatically based on the actions made by the PM.

The PM has the option to update the planned dates of pre-existing milestones at will. This could be useful in cases when the calculated dates do not fit the project plan anymore. The PM can update the planned date of a pre-defined milestone as shown in Figure 79.

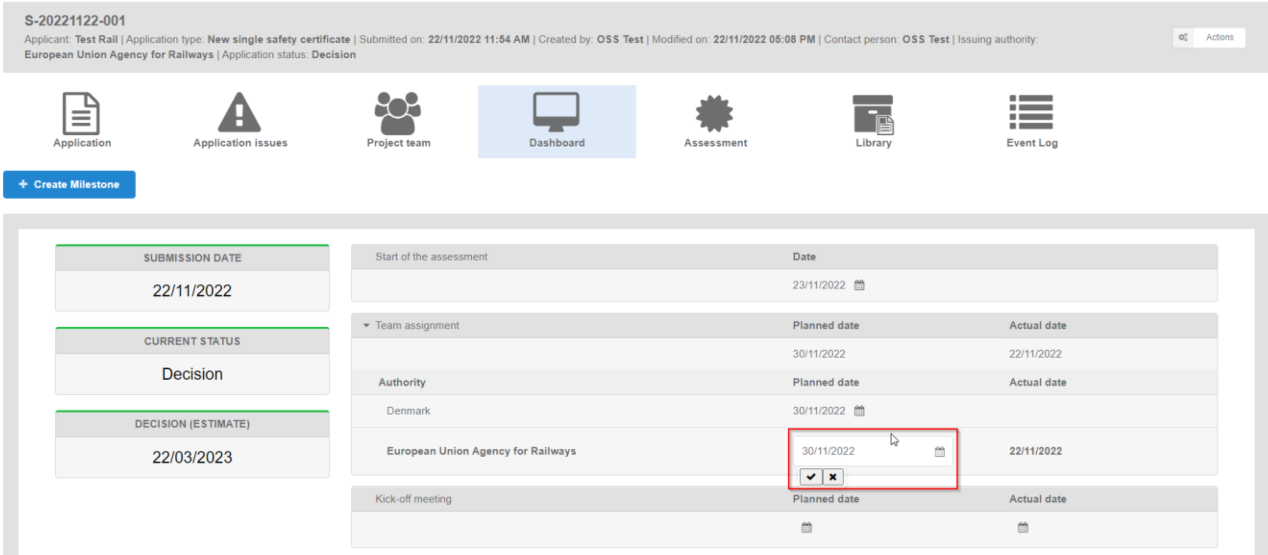

Figure 79: Pre-defined milestone screen

The PM also has the option to create custom milestones, by selecting to navigate to the "Dashboard" tab. Following that, the PM must select the "Create milestone" option as shown in Figure 80.

Figure 80: Create Milestone button

For adding a new milestone, the PM will define a name, the planned date, the actual date (optionally), and if the Applicant can view this milestone or not (Figure 81).

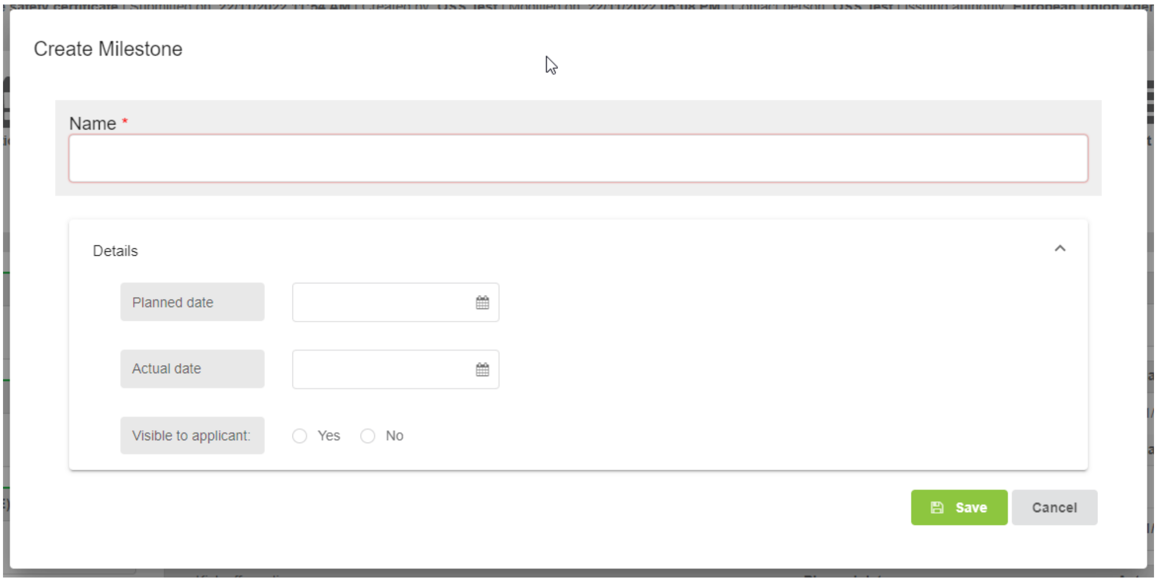

Figure 81: Create milestone form

The PM selects "Save". A confirmation message upon successful saving is displayed and a notification is sent to the applicant and the assessment team, informing them of this new milestone.

4.3.11. Extend timeframe

The PM may want to proceed in the extension of the timeframe of an assessment timeline. To achieve that, the PM selects to navigate to the "Dashboard" tab of an application that is not in status "completed/closed". Then, the PM selects from the "Actions" button, as shown in Figure 82 the option "Extend timeframe".

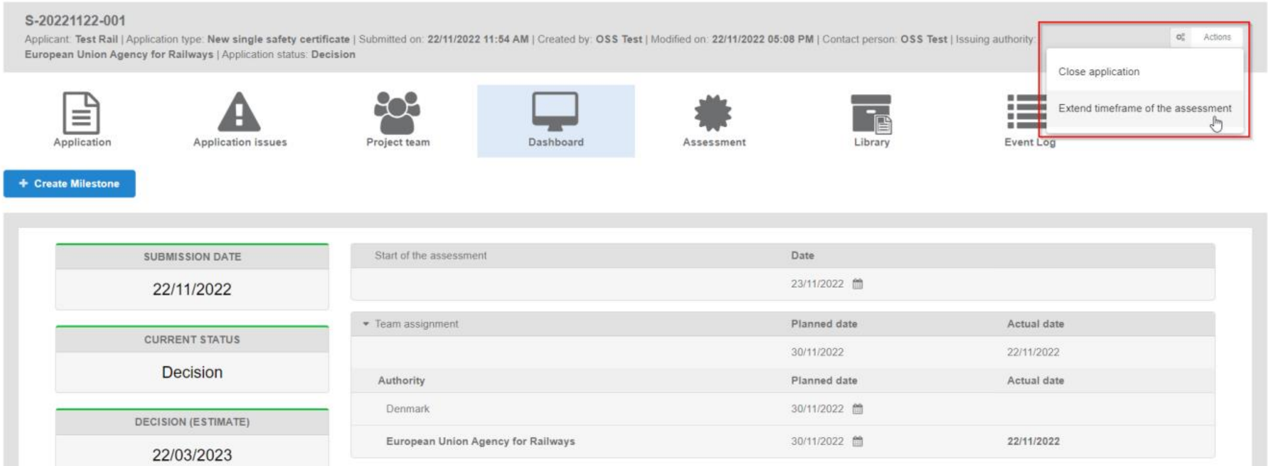

Figure 82: Extend timeframe

The PM provides all relevant information and ensures all mandatory information is filled in a pop up window similar to the one in Figure 83. The PM must define:

- The number of days/weeks/months of the extension, in the field "Start".
- The option to count the period in days/weeks/months, in the second field.
- Any justification by importing issues in the field "Justification" (optional).
- Any additional comment, in the last field (optional).

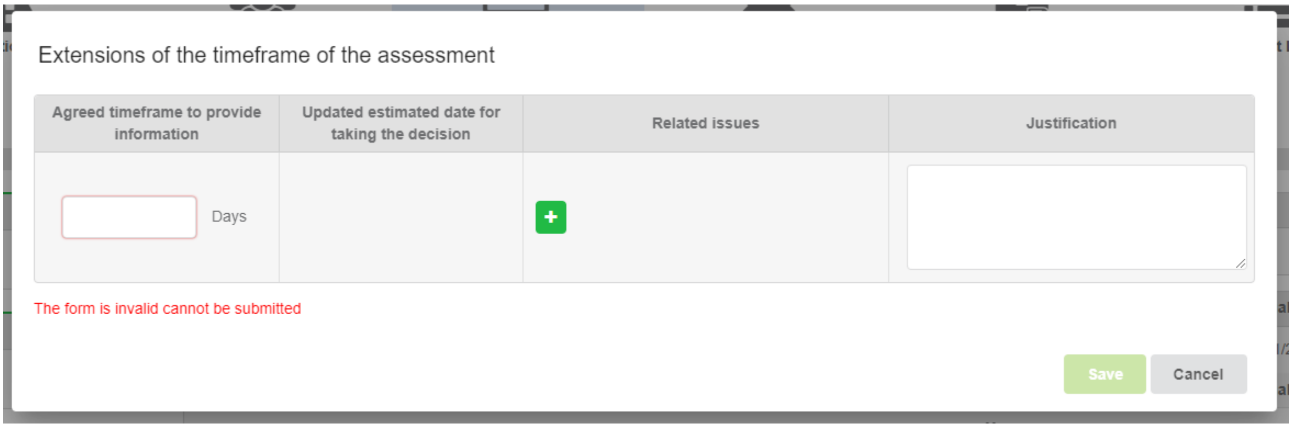

Figure 83: Extensions of the timeframe of the assessment form

The PM selects "Save". After that, a confirmation message is displayed, and a notification is sent to the Applicant and the assessment team for the extension of the timeframe.

4.4. Tasks for Assessors (AS)

An assessor (AS) performs the assessment of an application file. Their main responsibility is to submit the "Initial Screen/Completeness check and Detailed Assessment" reports for SSC and VA Applications and to submit the "Initial Completeness Verification and Detailed Completeness Verification" for TA. Initially the AS receives a notification on allocation to the application. At the same time, the task about the submission of the reports has been created in "My Work" section as shown in Figure 24. An alternative way to navigate to the related page of the reports is through the "Assessment" tab.

4.4.1. Submit Initial Screen report (SSC)

The first choice to be made is about the work method (i.e. online vs offline), as in Figure 45. In case the offline (import) method is selected, see guidelines in section 4.1.2.

In case the online (fill in the web form) option is selected, the system displays a screen similar to the one in Figure 84.

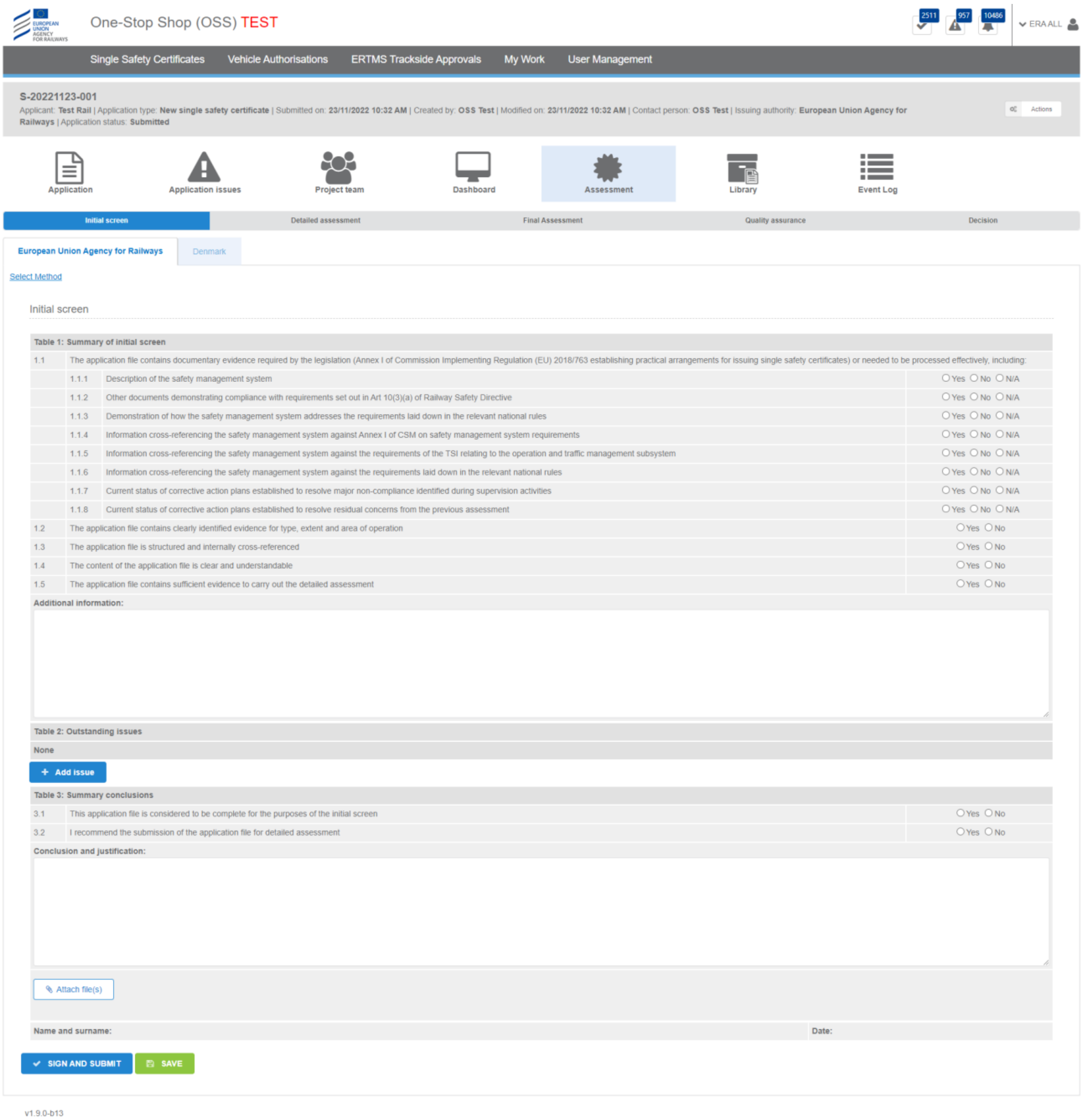

Figure 84: Initial Screen web form (SSC)

The AS works online to fill in the web form with the appropriate information.

The Assessor may add an existing issue from the issue log in the assessment form by clicking the "Add Issue" button as shown in Figure 85.

Figure 85: Initial Screen - Add issue from the issues log

The issues appearing are issues created by the Assessor belonging to the same organization.

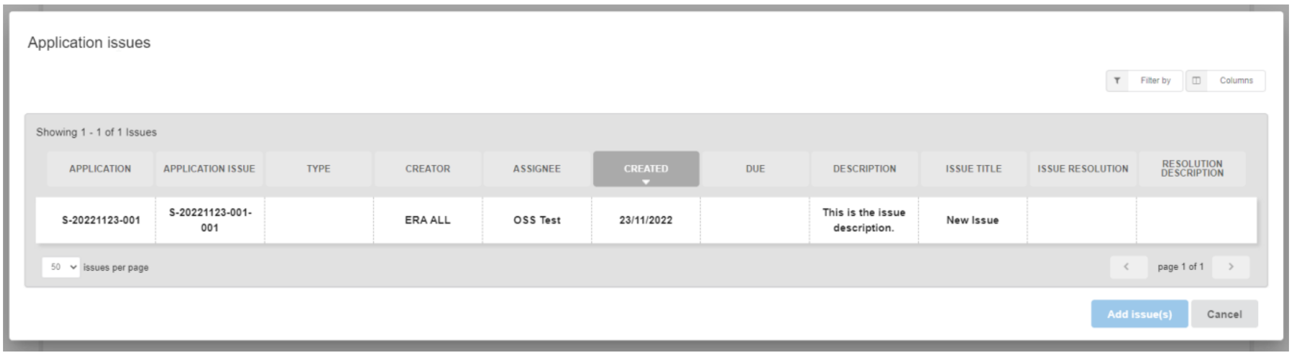

Figure 86: Add issue from the issues log

The Assessor selects the issue, which will be added in the report, and selects the “Add Issue(s)” button.

If the Assessor wants to delete the uploaded issue, he/she can click on “Delete” button.

Figure 87: Delete button

Then, the system displays the below confirmation message:

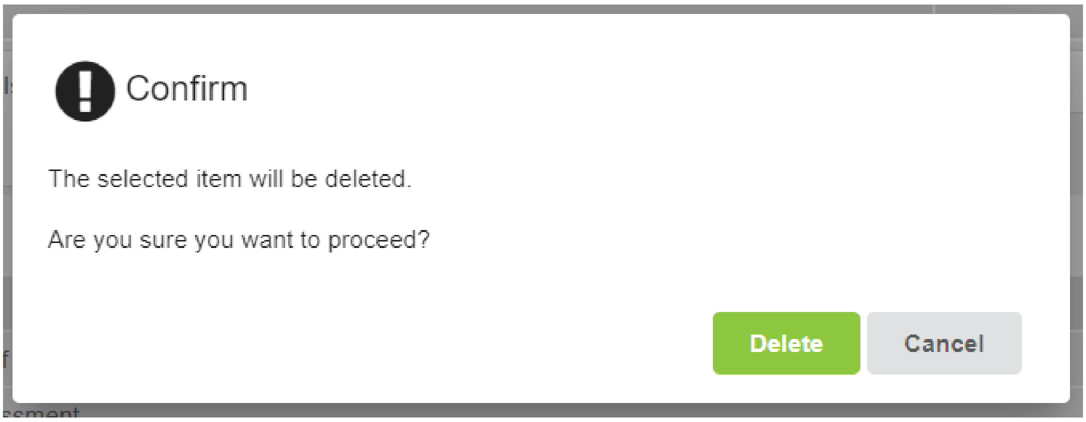

Figure 88: Confirmation message for the deletion of an issue

Also, the Assessor can upload/ attach any files needed for the report by clicking on the second “Attach files” button and after by selecting the “+” button. The system displays the below screen:

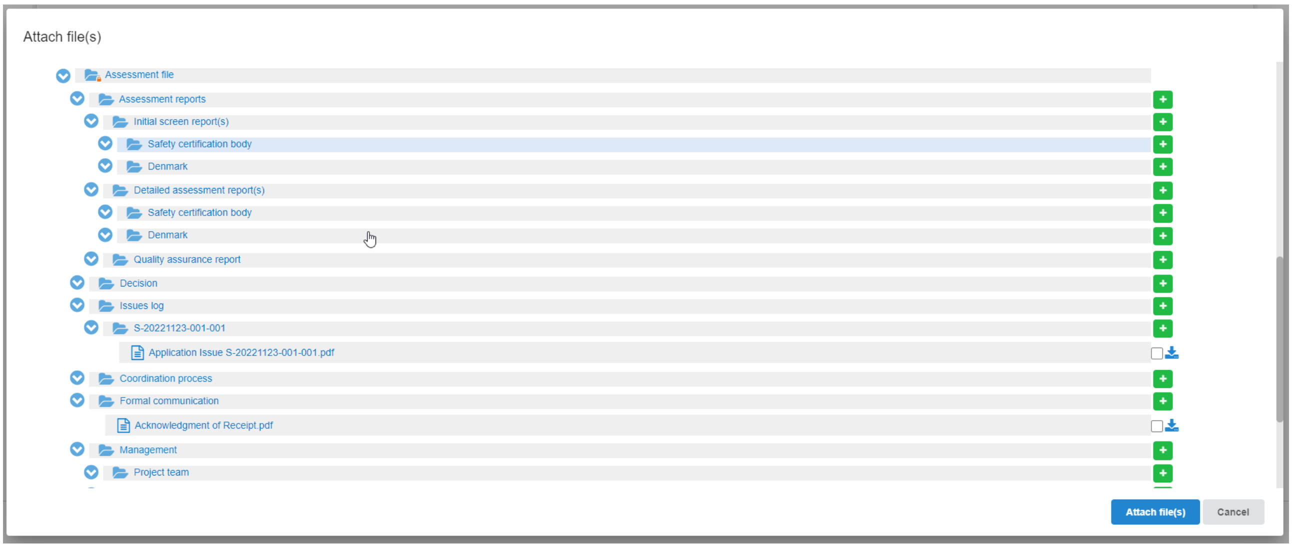

Figure 89: Attach files by clicking on the second “Attach files” button

Such action displays the Add file(s) page, shown in Figure 90. Please note that the system accepts as valid uploads the ones described in the File upload rules.

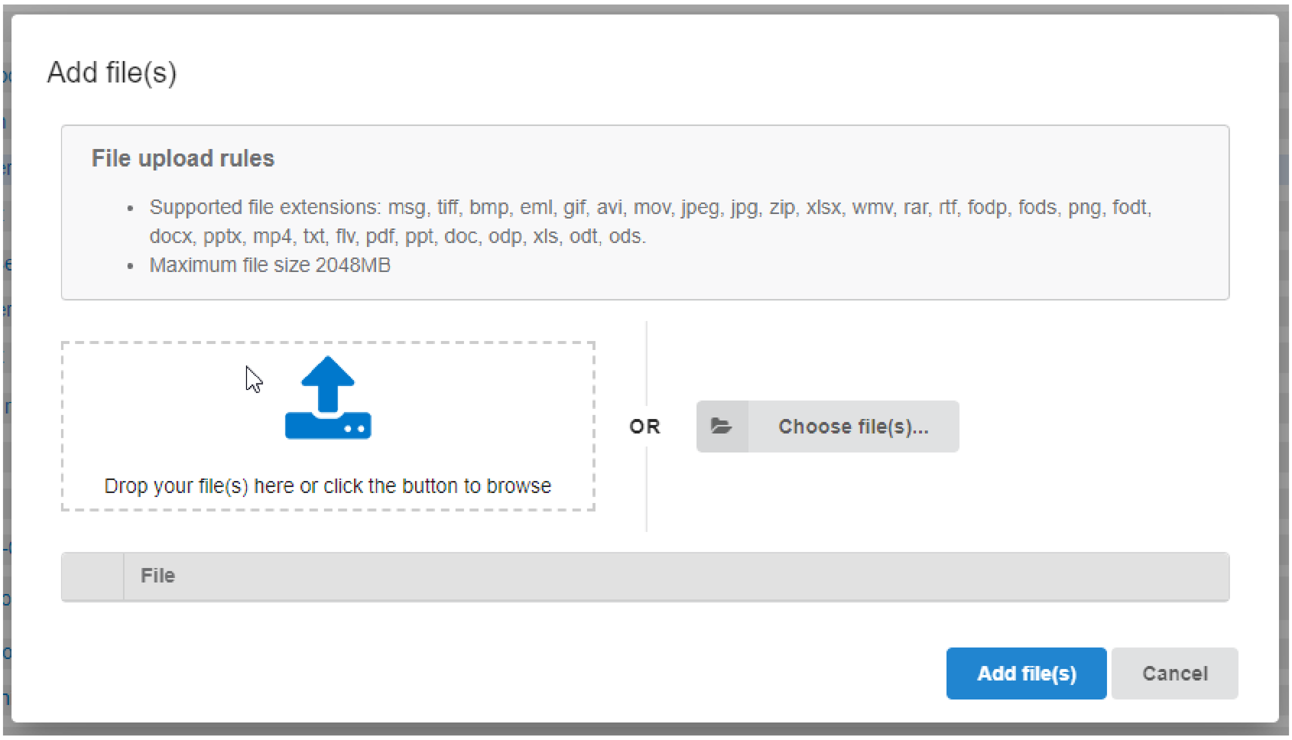

Figure 90: Add file(s)

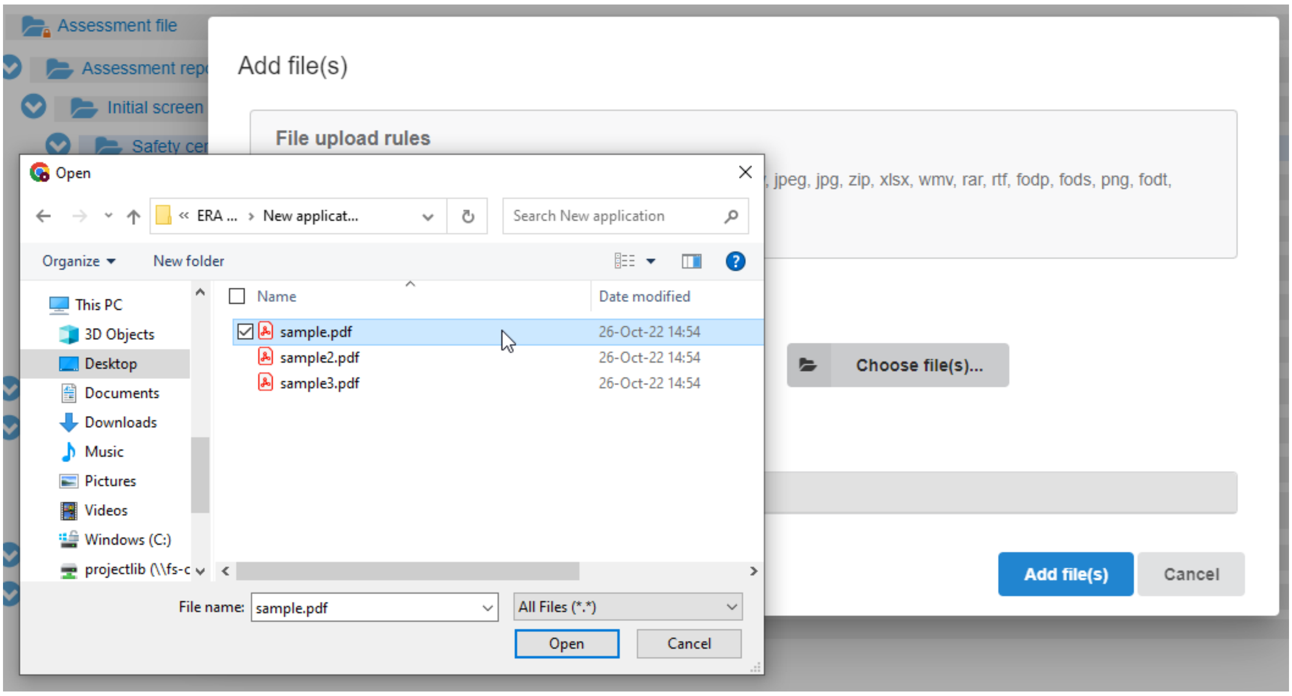

Figure 91: Choose file(s)

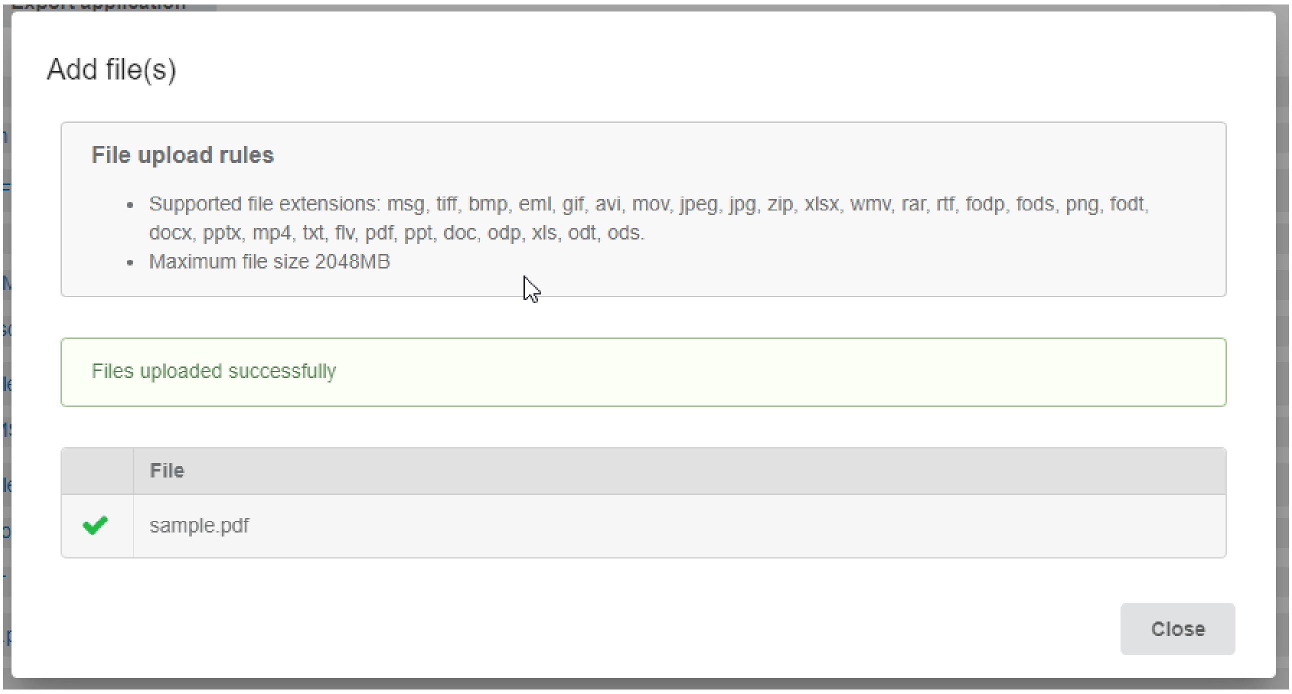

Figure 92: Successful upload

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the message displayed in Figure 92 is shown and the relevant file(s) appears in the relevant folder of Library, as shown in Figure 93.

The Assessor clicks on check box and after on “Attach files” button in order to attach the files in the report.

Figure 93: Attach file-check box

To save the report, the Assessor clicks on “Save” button.

Figure 94: Save button

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

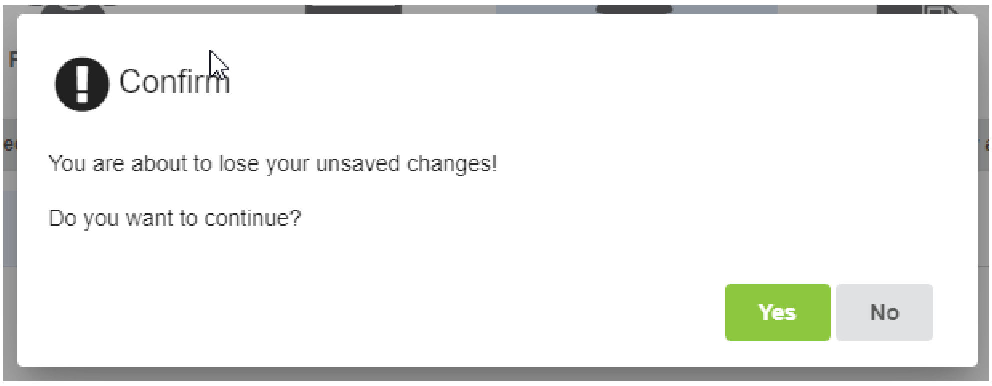

Figure 95: Warning message about unsaved information

To submit the report, the Assessor clicks on “Sign & Submit Initial screen report” button.

Figure 96: Sign & Submit Initial screen report

If the Assessor selects “Sign & Submit Initial screen report” button, the system displays a pop-up window as shown in Figure 97. The Assessor selects the language in which the certificate is to be issued. After selecting language, the Assessor selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. Then, a confirmation message is displayed upon successful submission. The system appends a new version to the Initial assessment report, stores it as part of the application information and notifies the PM and AR about the Initial Assessment report. The report is submitted, and no other changes can be made.

If the user before submitting, clicks on “Unlock application, he/she can update the report and change the inserted information.

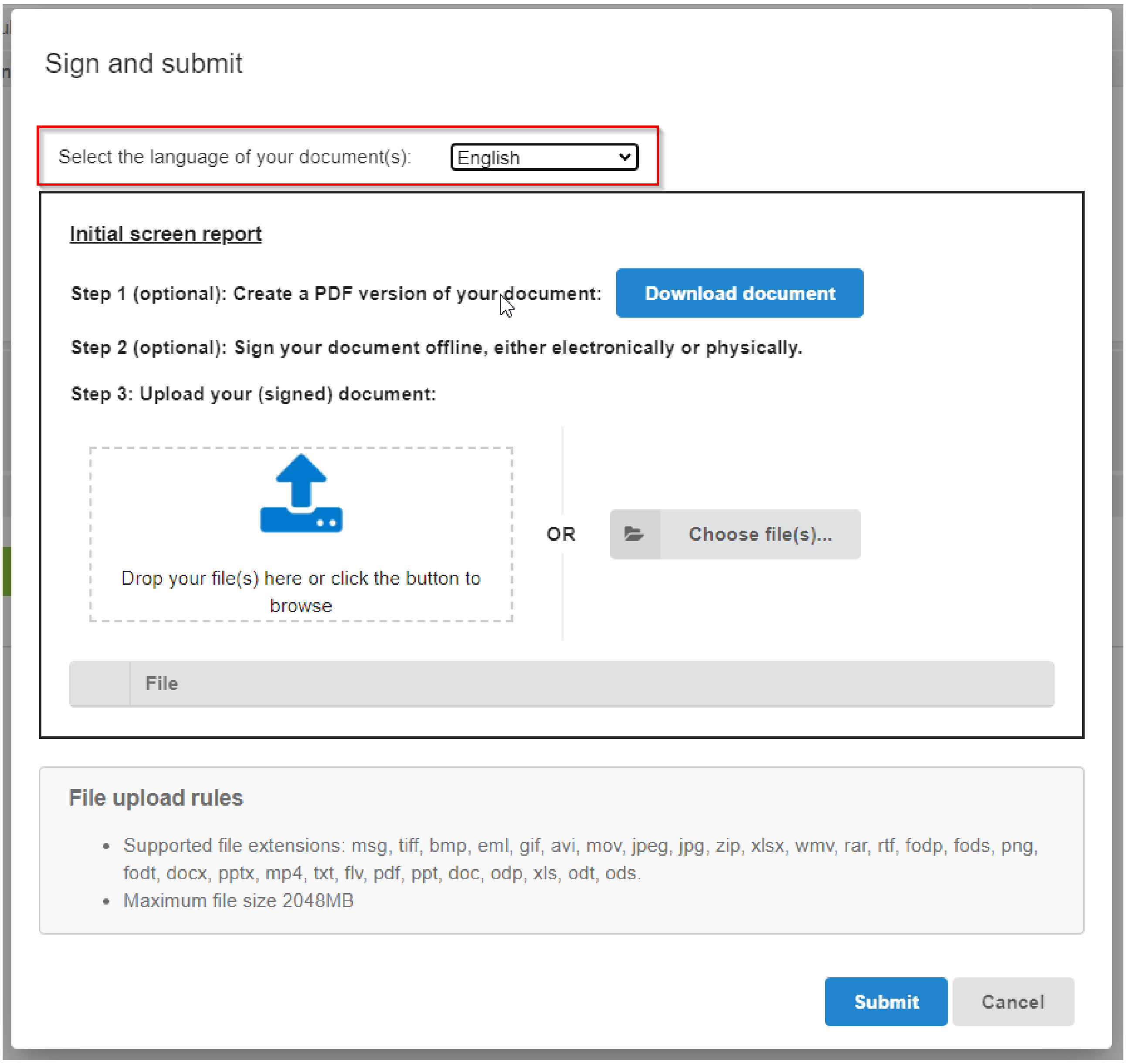

Figure 97: Sign and Submit pop-up window

The report is submitted, and no other changes can be made.

If “Save” button is used, the System saves as draft all information introduced and displays warnings where mandatory fields are not filled. If no warnings are found, then the system stores the report.

If the user selects to “Import Initial Screen file” in the Initial Screen report, the system displays the below:

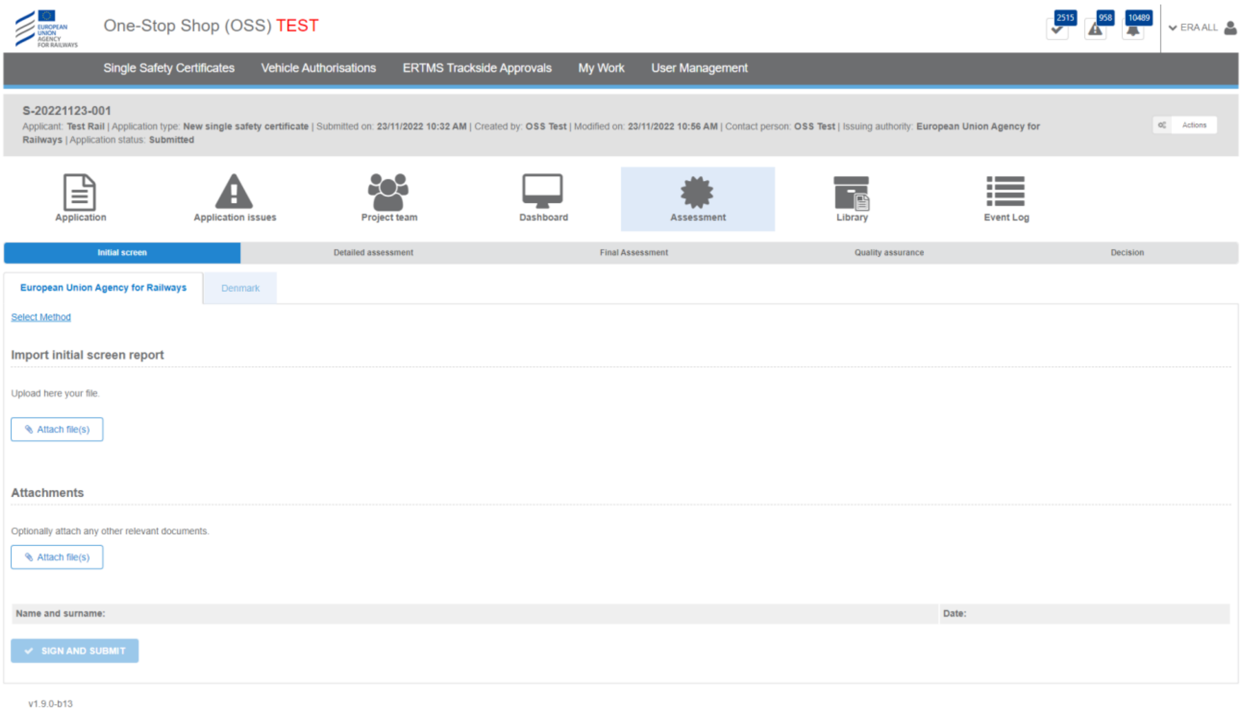

Figure 98: Import Initial Screen file

If the user selects to "Import initial screen file", the system allows to upload the offline prepared and signed copy of the report by clicking on the first "Attach files" button. Then the button "Sign and Submit" becomes active. Additionally, if the user selects to import initial screen file, he/she can navigate to attachments section (Library) and upload all necessary documents by clicking on the second "Attach files" button. After the uploading the Assessor can select the button "Sign and submit Initial screen report".

4.4.2. Submit Detailed Assessment report (SSC)

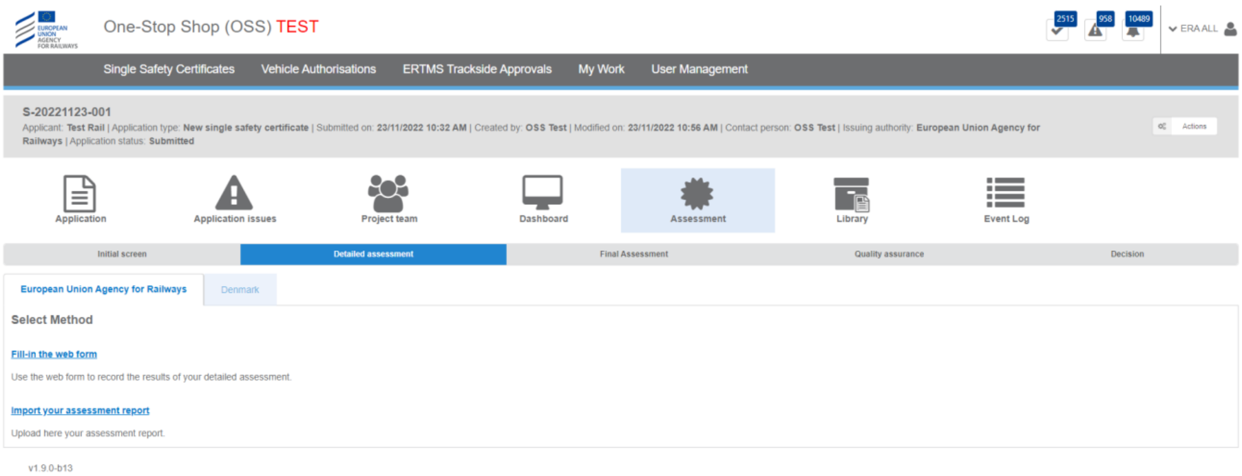

Figure 99: Detailed assessment select method

If the user selects to "fill in the web form", the system displays the below screen as shown in Figure 100.

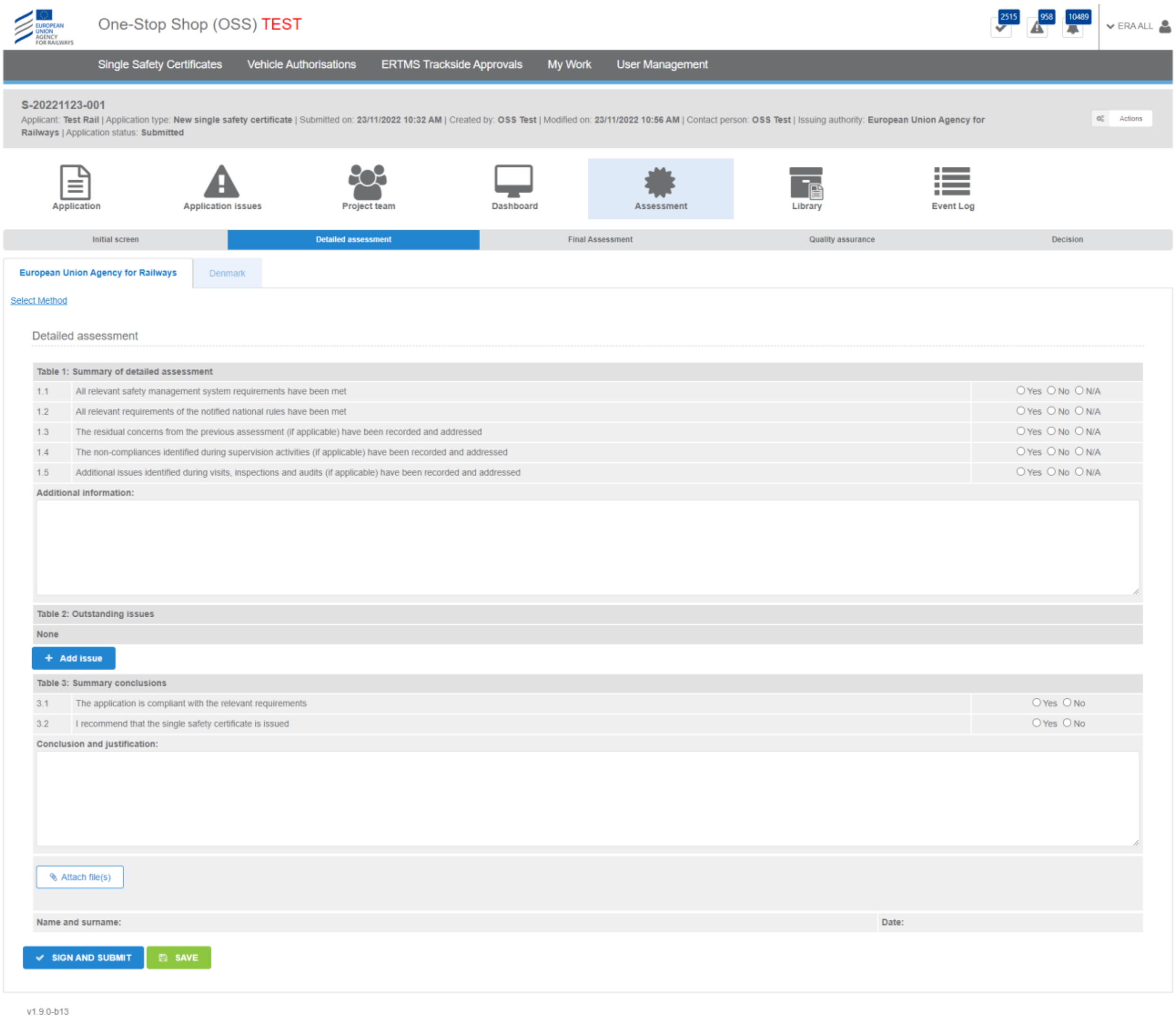

Figure 100: Detailed Assessment web form report SSC

The Assessor (AS) selects the radio buttons (“Yes/No” or “N/A”).

The issues appearing are issues created by the Assessor belonging to the same organization.

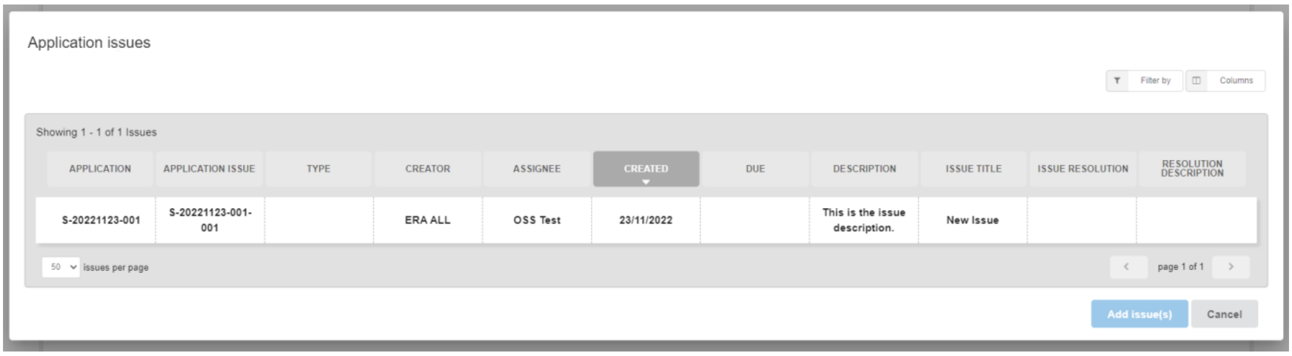

Figure 101: Add issue from the issues log

The Assessor selects the Issue which will be added in the report and selects the “Add Issue(s)” button.

If the Assessor wants to delete the uploaded issue, he/she can click on “Delete” button.

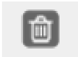

Figure 102: Delete button

Then, the system displays the below confirmation message:

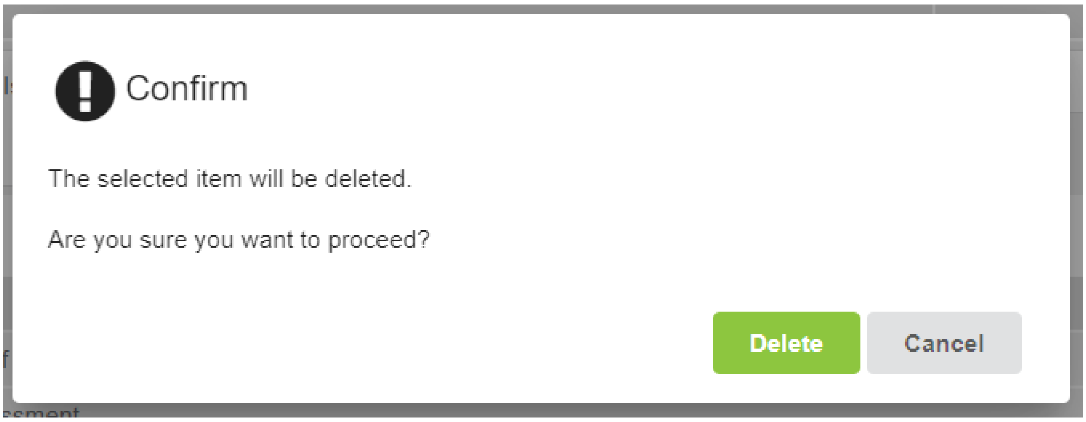

Figure 103: Confirmation message for the deletion of an issue

Also, the Assessor can upload/ attach any files needed for the report by clicking on the second “Attach files” button and after by selecting the “+” button.

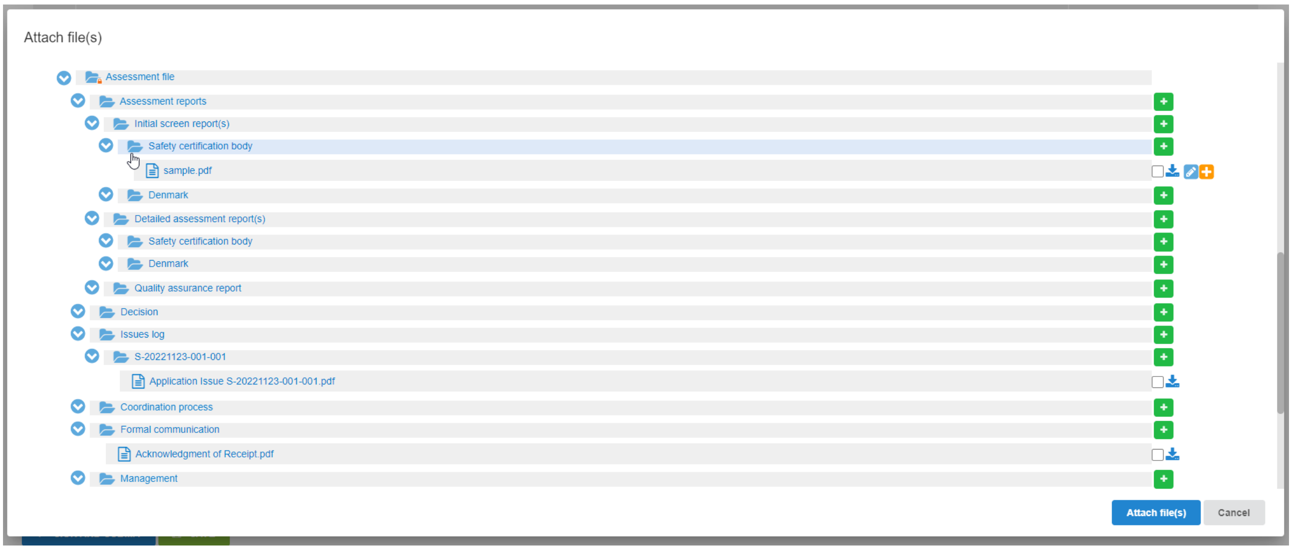

Figure 104: Attach files screen

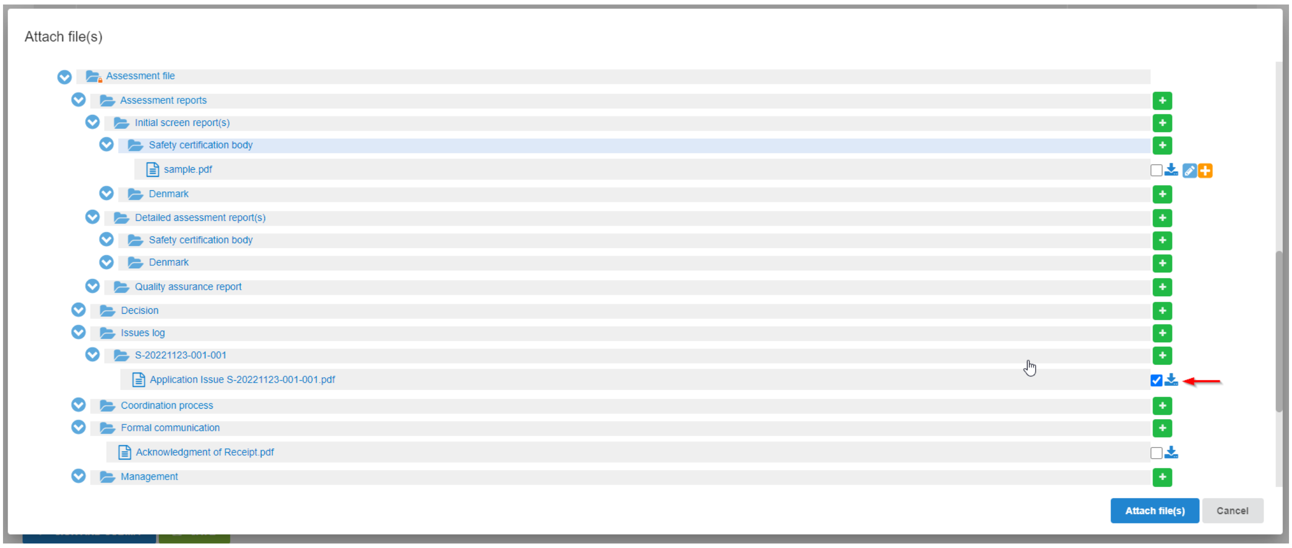

Figure 105: Attach file-check box

The upload process is the same as described for the Initial screen for SSC.

To save the report, the Assessor selects the “Save” button as shown in Figure 94. In this case he/she can further update the report.

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

To submit the report, the assessor clicks on “Sign & Submit” button as shown in Figure 106.

Figure 106: Submit button

If the Assessor selects “Sign & Submit” button, the system displays a pop-up window. The Assessor selects the language in which the certificate is to be issued, as shown in Figure 107. After selecting language, the Assessor selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. A confirmation message is displayed upon successful submission. The system appends a new version to the Detailed assessment report, stores it as part of the application information and notifies the PM and AR about the Detailed assessment report. The report is submitted, and no other changes can be made. If the user before submitting, clicks on “Unlock application, he/she can update the report and change the inserted information.

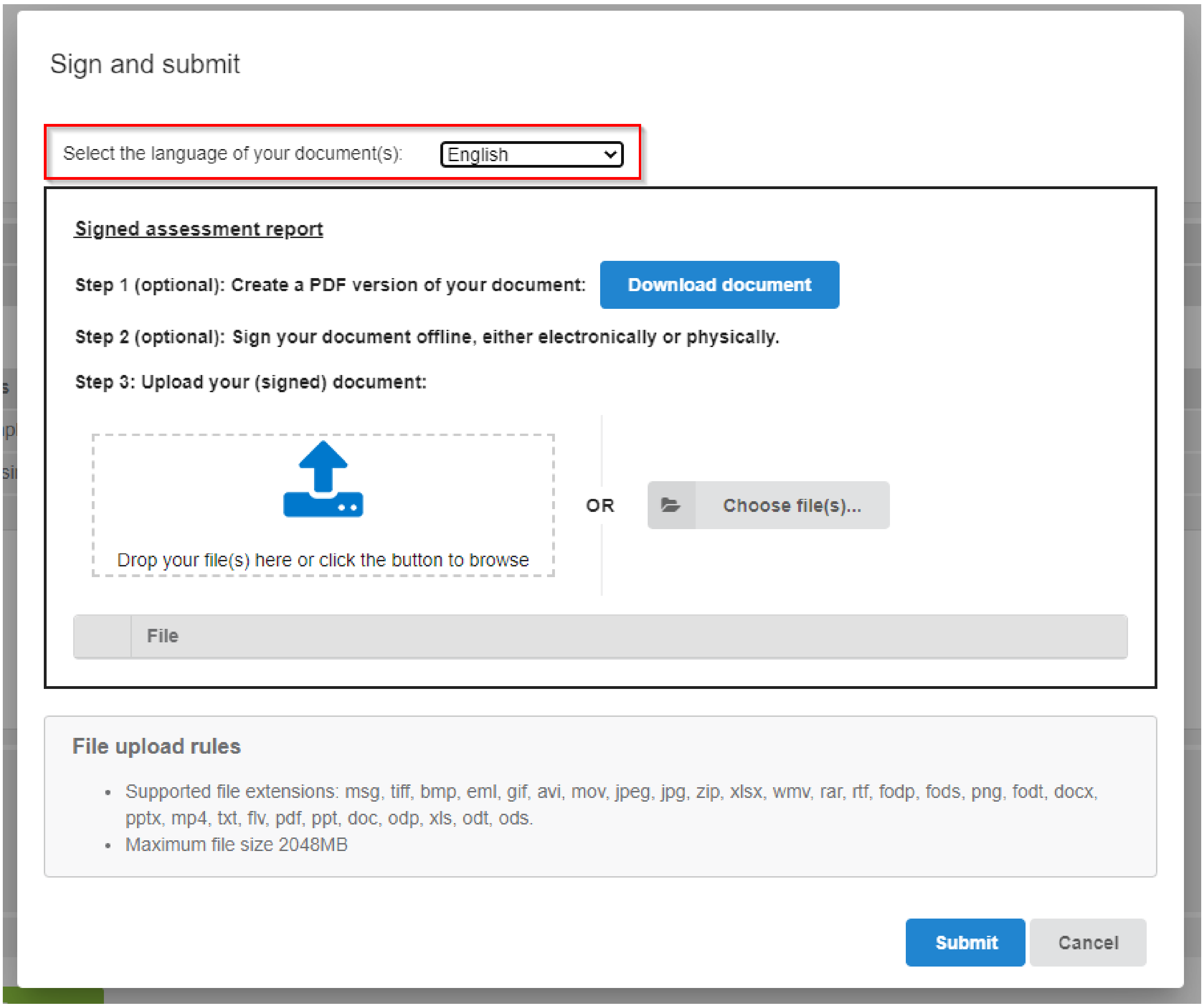

Figure 107: Sign and Submit pop-up window

If the Assessor selects to “Import Detailed Assessment file” in the Detailed Assessment report, the system displays the below:

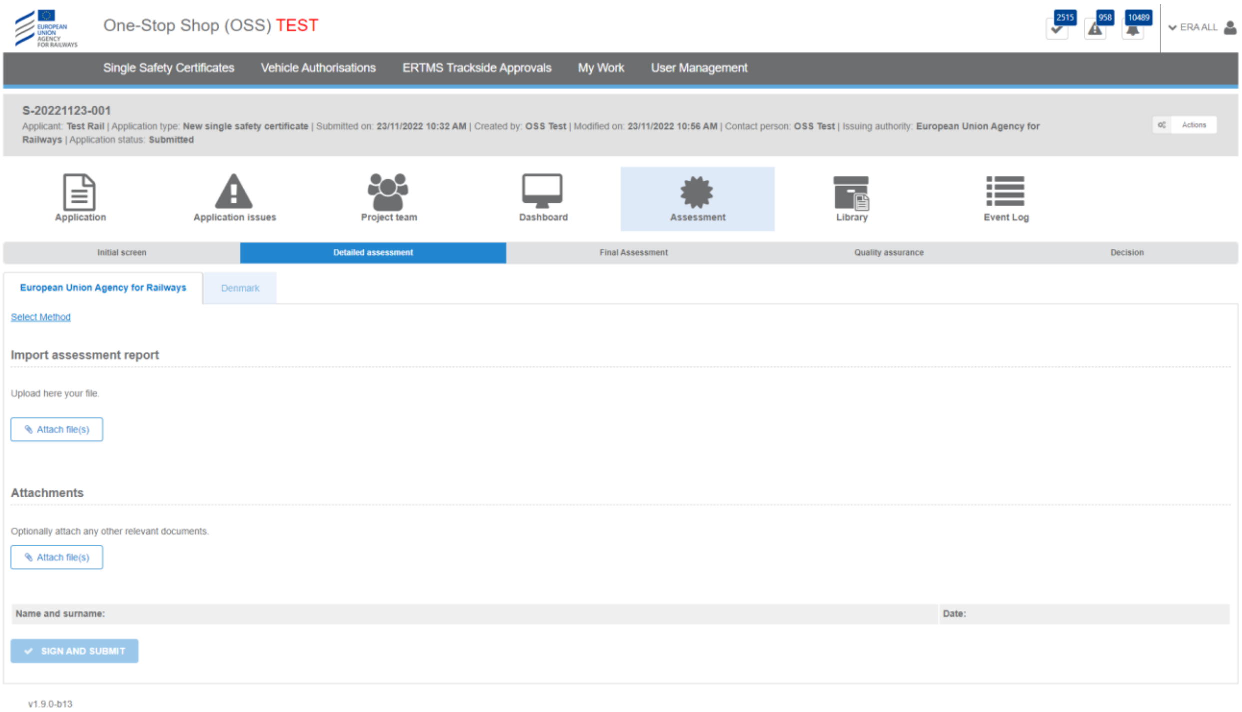

Figure 108: Import Detailed Assessment file

If the user selects to “Import Detailed Assessment file”, the system allows to upload the offline prepared and signed copy of the report by clicking on the first “Attach files” button. Then the button “Sign and Submit” becomes active. Additionally, if the user selects to import initial screen file, he/she can navigate to attachments section (Library) and upload all necessary documents by clicking on the second “Attach files” button. After the uploading the Assessor can select the button “Sign and Submit”.

For a VA application, in case that the Authorisation case is “Conformity to type”, there is only the “Authorising entity” tab.

For VA the AE and the National Part Completeness Check reports are the same.

4.4.3. *Submit Completeness Check report (VA)*

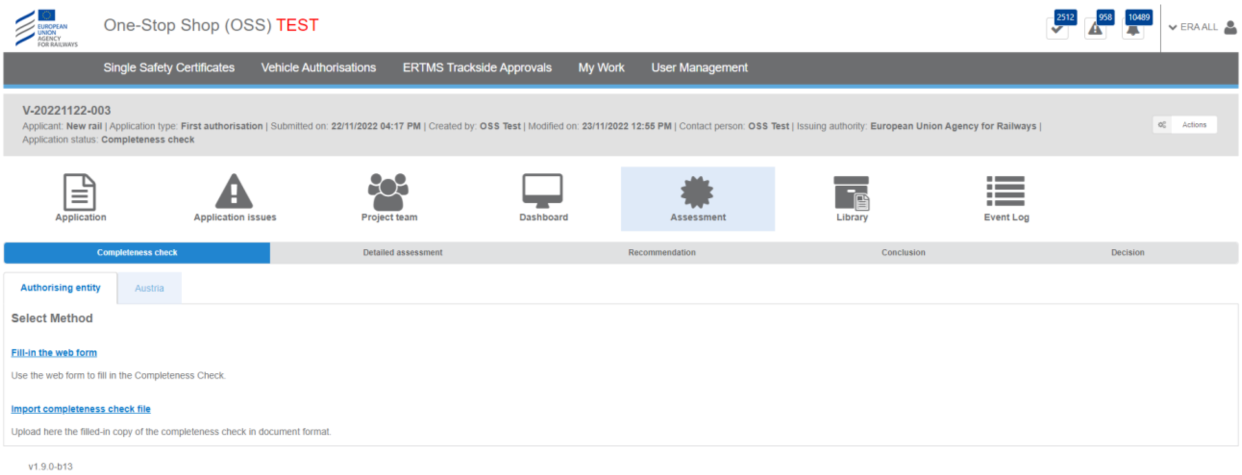

Figure 109: Completeness Check VA

If the Assessor selects the Authorising entity tab and after selects to “fill in the web form”, the system displays and allows for editing the Completeness check report of the application.

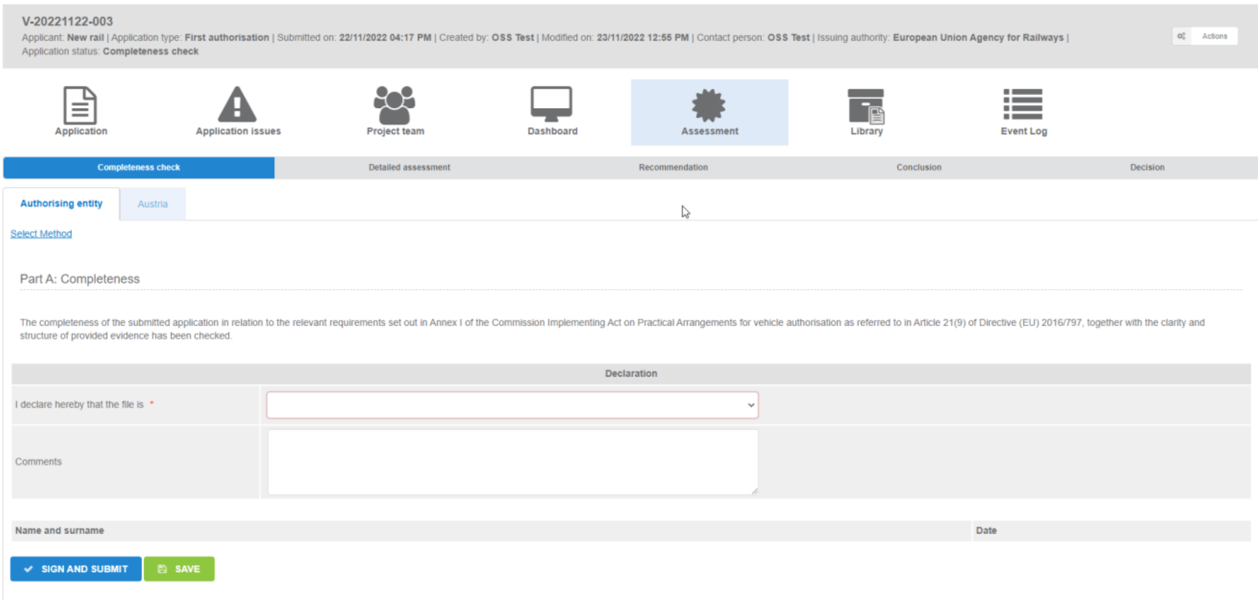

Figure 110: Completeness Check web form

The label “I declare hereby that the file is” is mandatory. The issues table appears only when completeness list choice is “Incomplete” or “Fundamentally deficient” as shown in Figure 52. The issues appearing are issues created by the Assessor belonging to the same organization. If the user selects to add an issue, the system displays the issues list as shown in Figure 101.

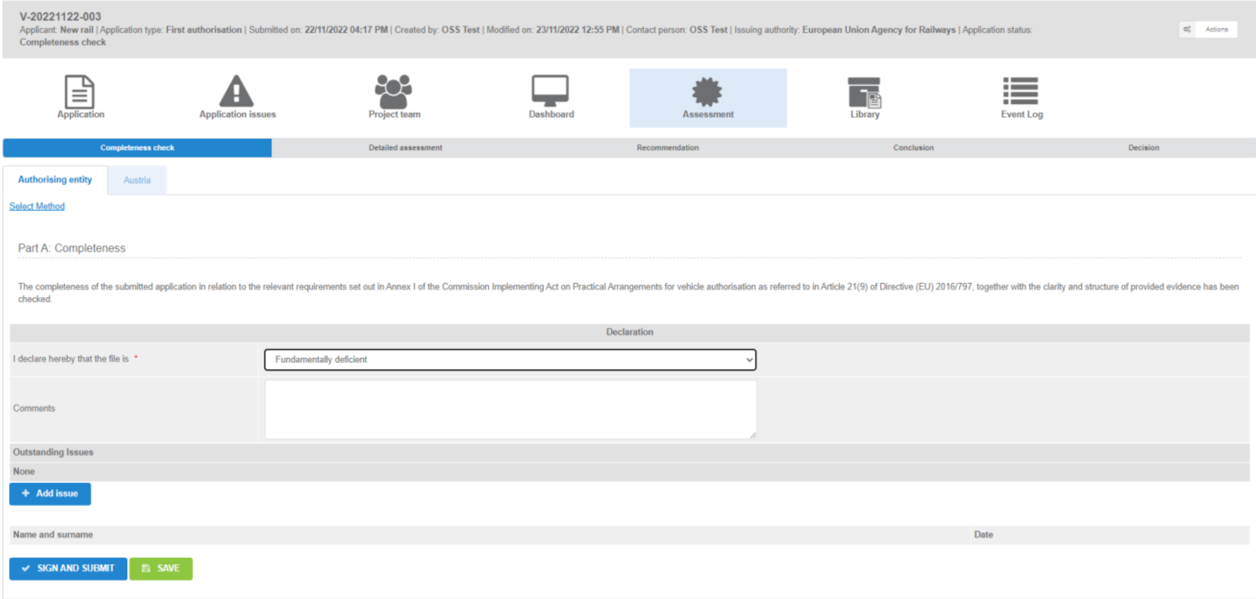

Figure 111: Add issue from the issues log

If the user clicks on “Submit” button, a pop-up window is displayed requiring the Assessor to download the report as shown in Figure 112. He/She selects to download the report in order to print and sign it and after, selects to upload the signed copy of the report by choosing a file or drag and drop. After the submission, a confirmation message is displayed upon successful submission. The system appends a new version to the Completeness Check report, stores it as part of the application information and notifies the AE PM and AR about the Initial Screen/Completeness check report.

The Assessor can also, select to “Import Completeness check file”, and attach files in order to upload the offline prepared and signed copy of the report, by clicking on the “Attach files” button. Then, the button “Submit” becomes active.

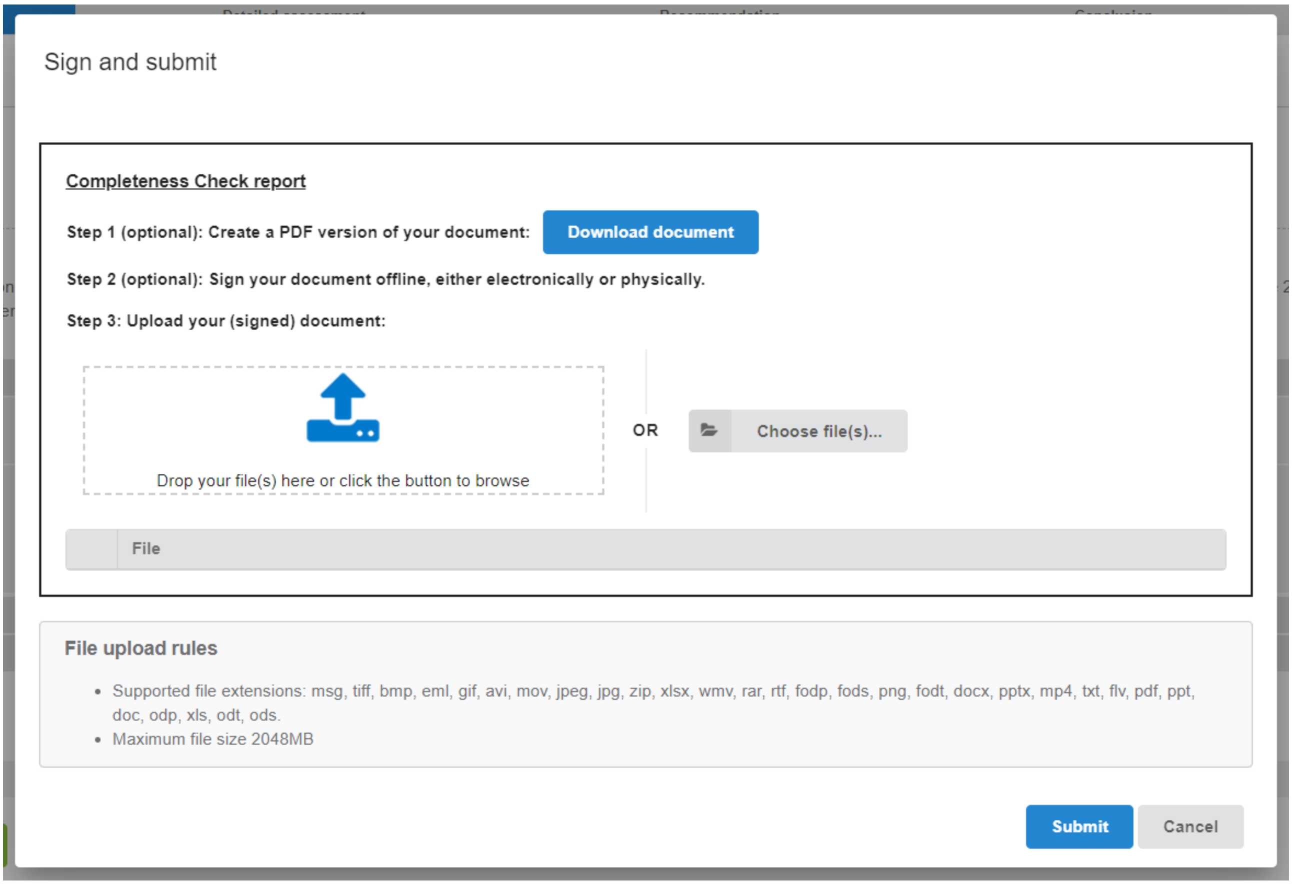

Figure 112: Sign and Submit pop-up window VA

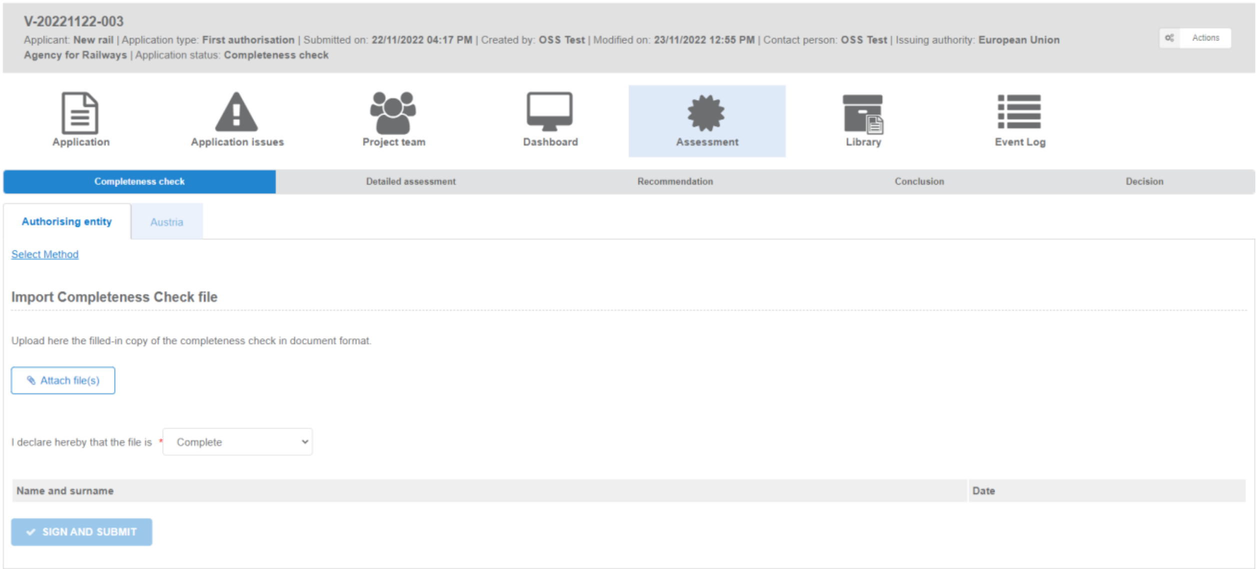

Figure 113: Import Completeness check VA

4.4.4. Submit Detailed Assessment report (VA)

The VA Detailed Assessment Report is built per authorisation case and their combinations. Details Part(s) are built for each section that appeared in the application for the Authorisation Details-Details part and for the

Agency or the involved NSAs that are present in each Authorisation Details -details part-similar to how the Mapping tables were created.

Depending on the NSA(s) involved in the application, there is always an AE and NSA(s) Detailed Assessment Reports.

If the Assessor selects to “Fill-in the web form” from the Select method, the system displays the below screen:

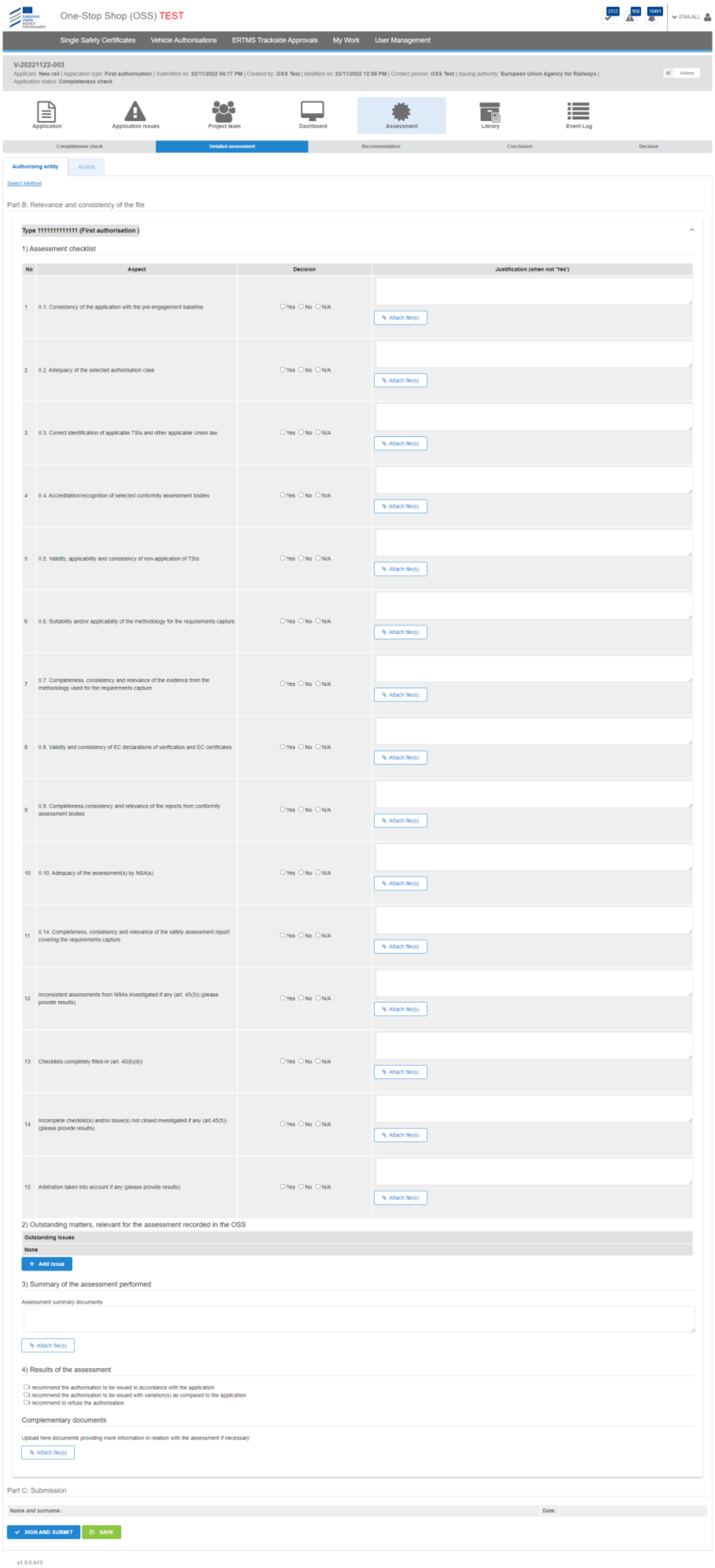
One-Stop Shop (OSS) TEST
Single Safety Certificates
Vehicle Authorisations
ERTMS Trackside Approvals
My Work
User Management
V-20221122-003
Application
Application issues
Project team
Dashboard
Assessment
Library
Event Log
Completeness check
Detailed assessment
Recommendation
Conclusion
Decision
Authorising entity
Select Method
Part B: Relevance and consistency of the file
1) Assessment checklist
No
Aspect
Decision
Justification (when not 'Yes')
II.1. Consistency of the application with the pre-engagement baseline
II.2. Adequacy of the selected authorisation case
II.3. Correct identification of applicable TSIs and other applicable Union law
II.4. Accreditation/recognition of selected conformity assessment bodies
II.5. Validity, applicability and consistency of non-application of TSIs
II.6. Suitability and/or applicability of the methodology for the requirements capture
II.7. Completeness, consistency and relevance of the evidence from the methodology used for the requirements capture
II.8. Validity and consistency of EC declarations of verification and EC certificates
II.9. Completeness consistency and relevance of the reports from conformity assessment bodies
II.10. Adequacy of the assessment(s) by NSA(s)
II.14. Completeness, consistency and relevance of the safety assessment report covering the requirements capture
Inconsistent assessments from NSAs investigated if any (art. 45(3)) (please provide results)
Checklists completely filled-in (art. 40(6)(d))
Incomplete checklist(s) and/or issue(s) not closed investigated if any (art.45(5)) (please provide results)
Arbitration taken into account if any (please provide results)
Yes
No
N/A
Attach file(s)
2) Outstanding matters, relevant for the assessment recorded in the OSS
Outstanding Issues
None
Add issue
3) Summary of the assessment performed
Assessment summary documents
4) Results of the assessment
I recommend the authorisation to be issued in accordance with the application
I recommend the authorisation to be issued with variation(s) as compared to the application
I recommend to refuse the authorisation
Complementary documents
Upload here documents providing more information in relation with the assessment if necessary
Part C: Submission
Name and surname:
Date:
SIGN AND SUBMIT
SAVE

Figure 114: Detailed Assessment report in VA

If the Assessor chooses “I recommend to refuse the authorisation” as shown in Figure 115, the system allows him to add an issue for this application.

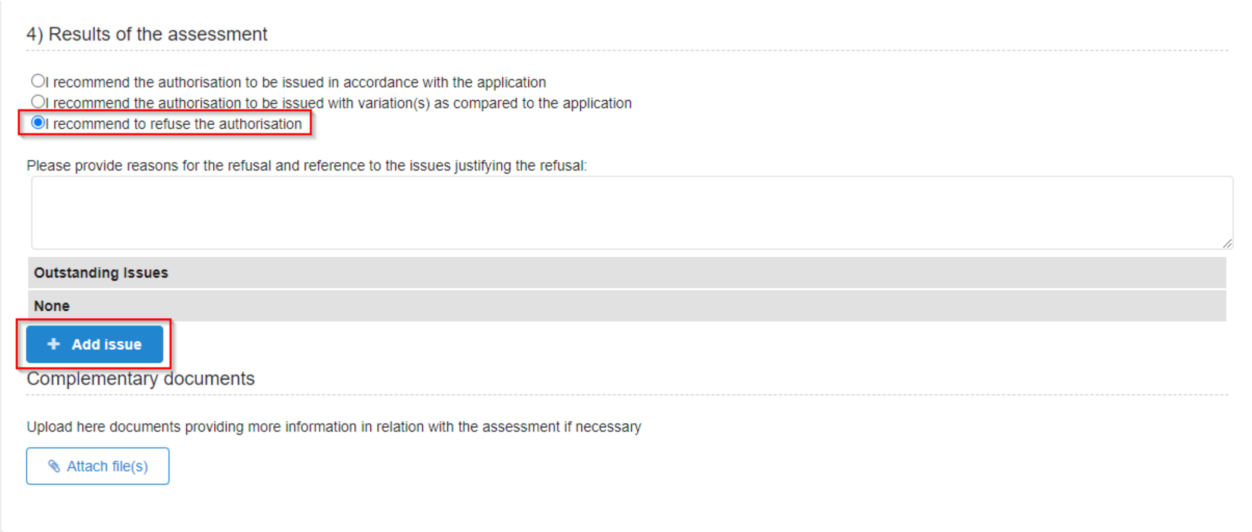

Figure 115: Detailed Assessment report VA

Also, the Assessor can upload/ attach any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button.

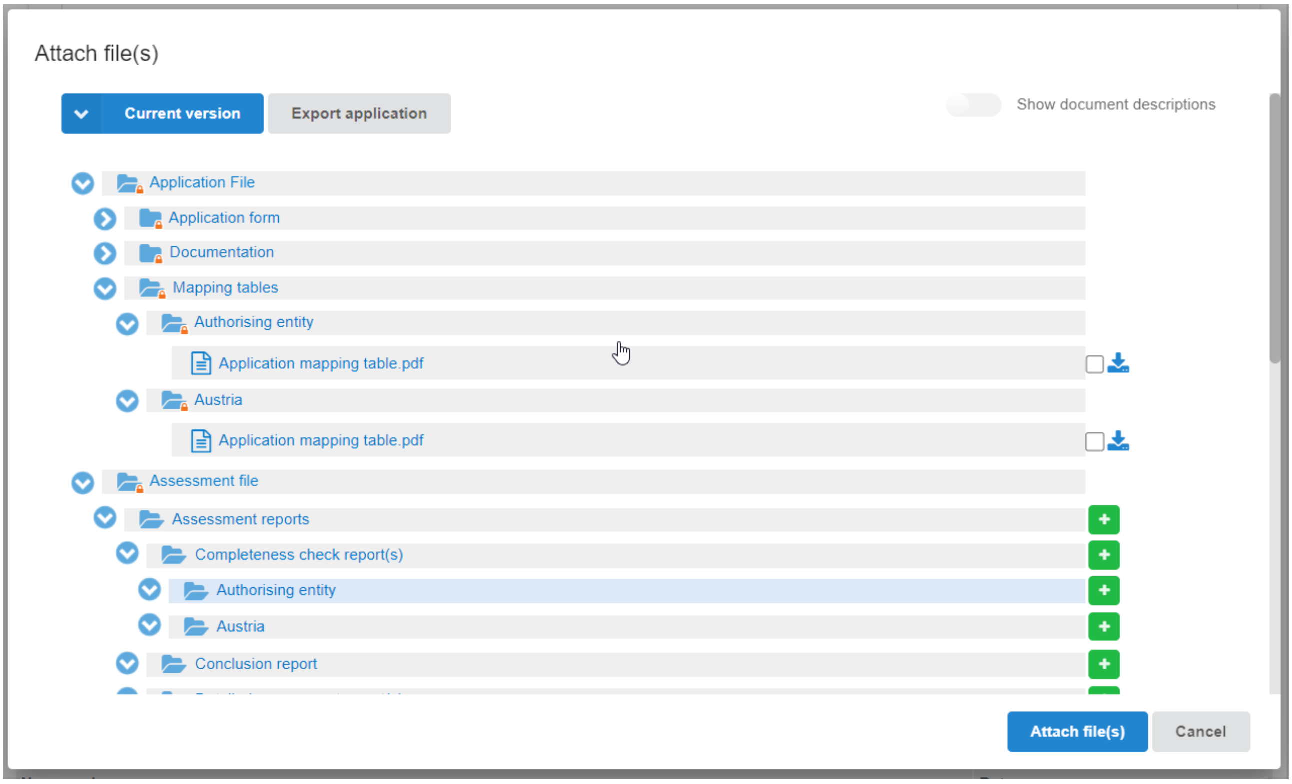

Figure 116: Attach files

Such action displays the Add file(s) page, shown in Figure 90. Please note that the system accepts as valid uploads the ones described in the File upload rules.

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the message displayed in Figure 92 is shown and the relevant file(s) appears in the relevant folder of Library.

The Assessor can also, select to "Import detailed assessment file", and attach files in order to upload the offline prepared and signed copy of the report, by clicking on the "Attach files" button. Then, the button "Sign & Submit" becomes active.

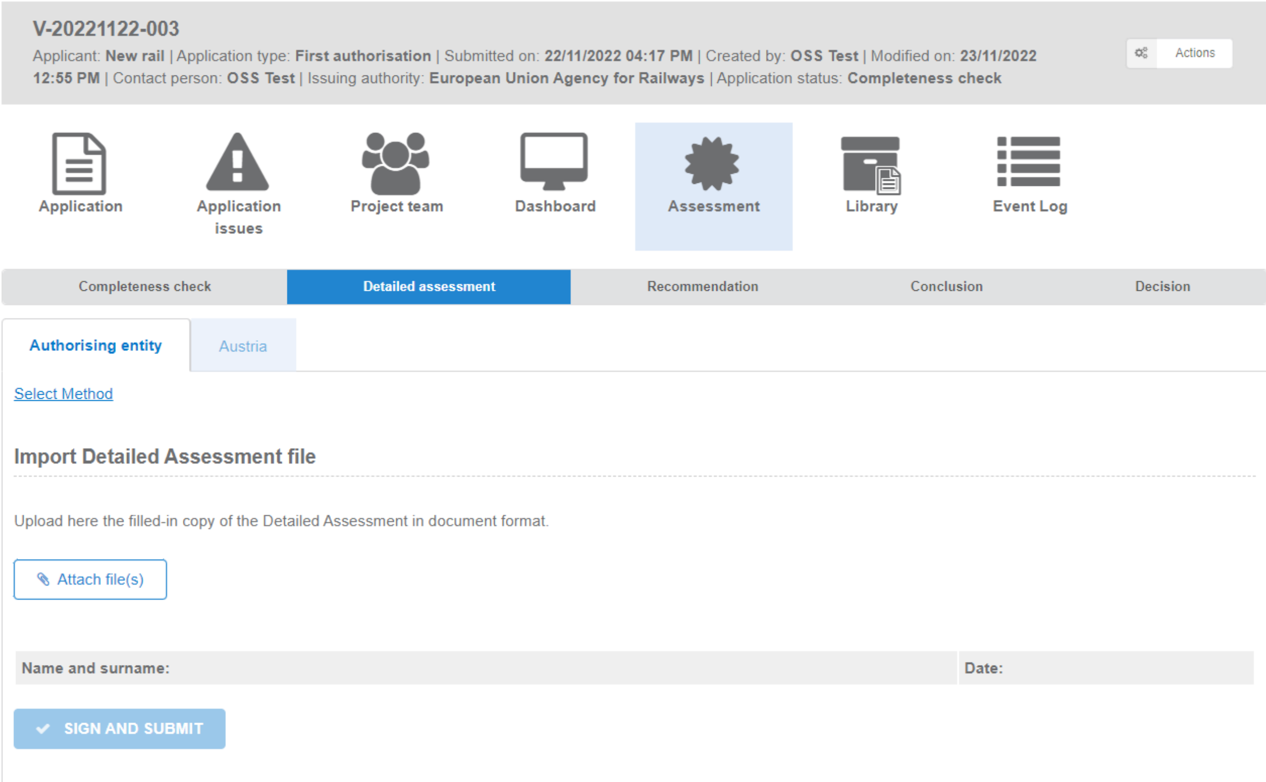

Figure 117: Import detailed assessment file VA

4.4.5. Submit Detailed Assessment report for Subsequent applications (VA)

When performing "Detailed assessment" in Conformity to type applications, it is possible to select the option "Subsequent application":

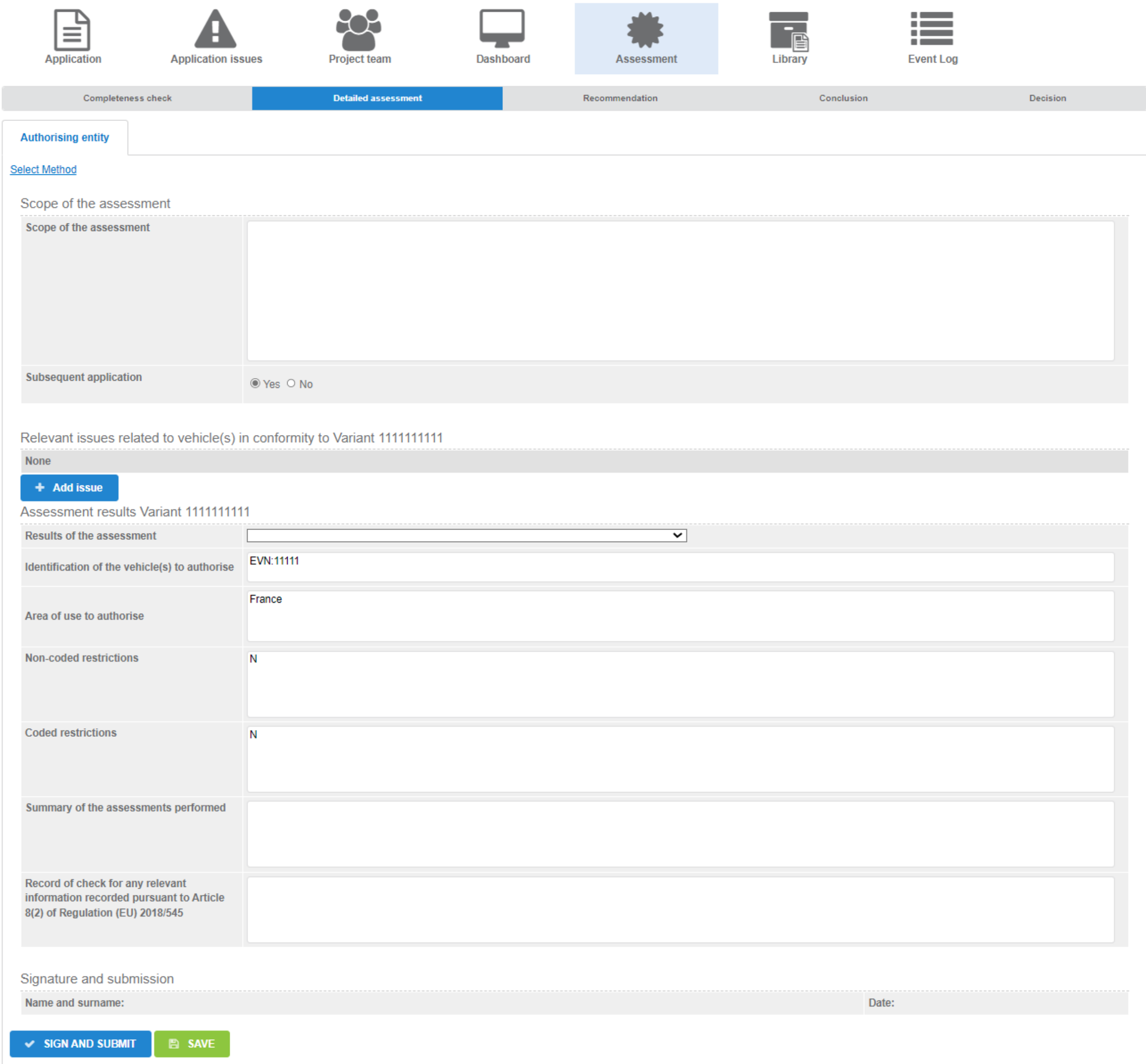

Figure 118: Select Subsequent application

This selection must only be used to start a simplified process of assessment where only slight variations are going to be introduced in the vehicle, with respect to an existing vehicle of reference already assessed. This process will not require an in depth and thorough analysis, which should be needed to be done when important variations are introduced in the vehicle,

When this option is selected, the Assessment results part of the report must also be described.

4.4.6. Submit preliminary verification of completeness report (TA)

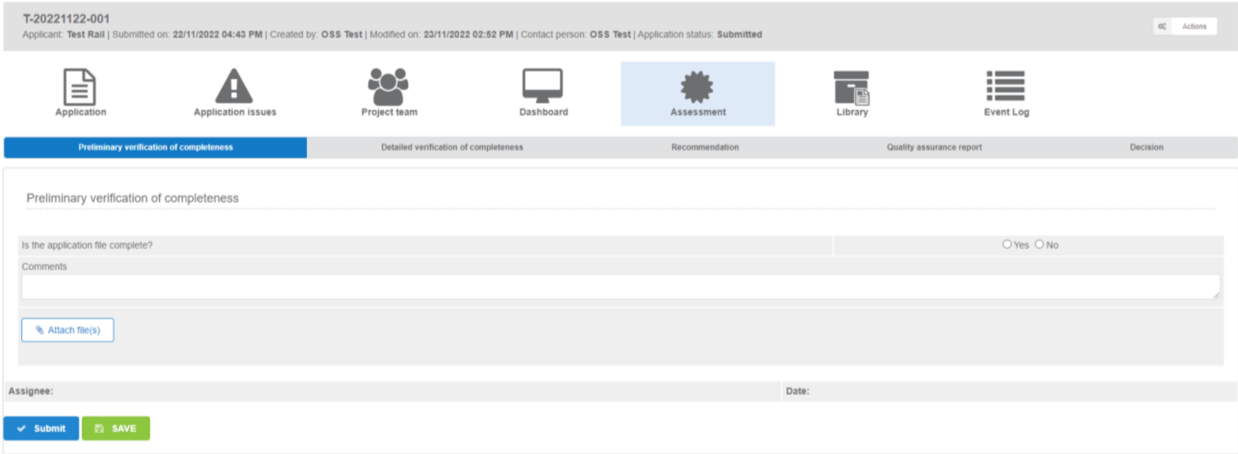

Figure 119: Initial Completeness verification screen in TA

The Assessor may provide the information in the “Initial completeness verification” form. He/She can attach files as described above.

4.4.7. Submit detailed verification of completeness report (TA)

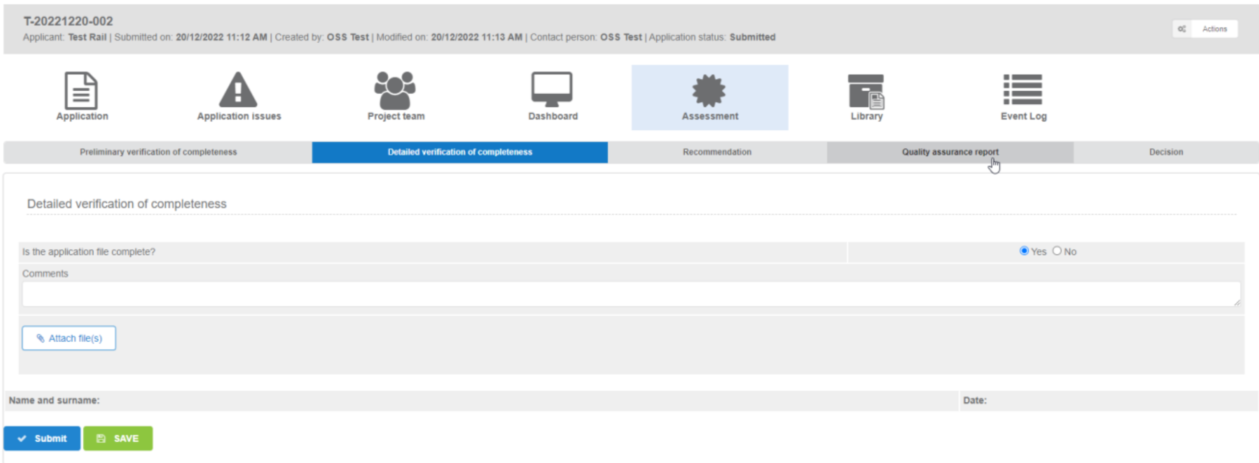

Figure 120: Detailed Completeness verification screen in TA

For all the mandatory fields (with red asterisk) 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 121.

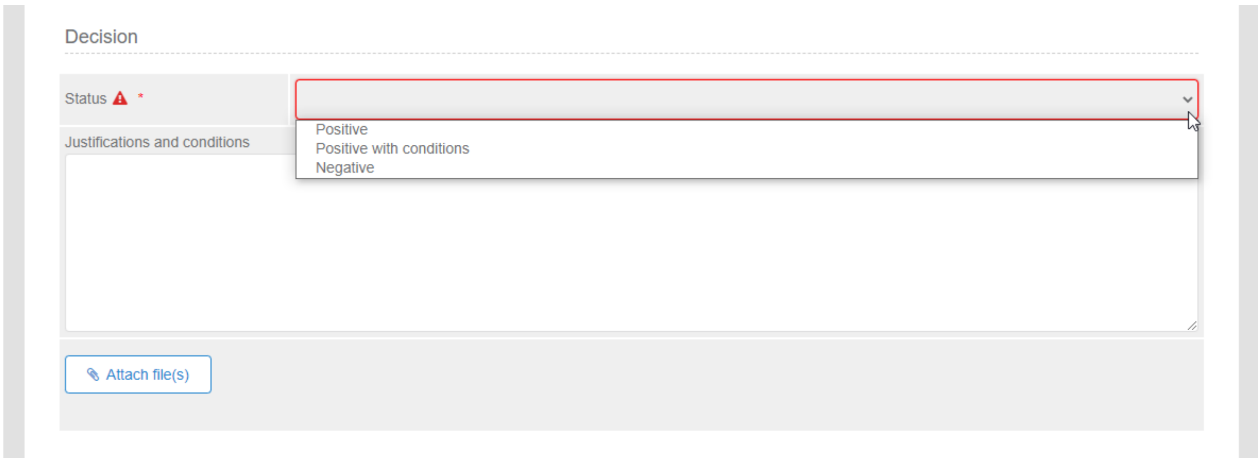

Figure 121: Alerts and fields in error

The Assessor may provide any comments for this report and he/she can also, upload/ attach any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button. The system displays the “Library” and he/she can upload the files as shown in Figure 90, Figure 91 and Figure 92.

4.5. Tasks for Assurors (AR)

An Assuror is responsible for the quality review of the application assessment process. The Assuror has main responsibility the submission of “Quality Assurance/Conclusion” report and the system displays the same screen for SSC, VA and TA with the “Select Method (“Fill in the web form”, “Import Quality Assurance file”).

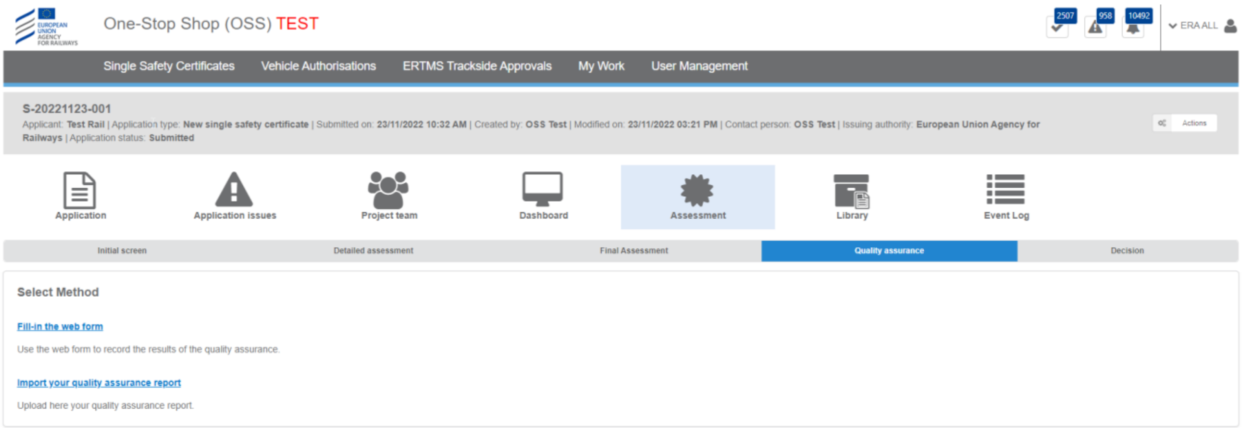

Figure 122: Quality Assurance Select Method in SSC, VA and TA

4.5.1. Submit Quality Assurance report (SSC)

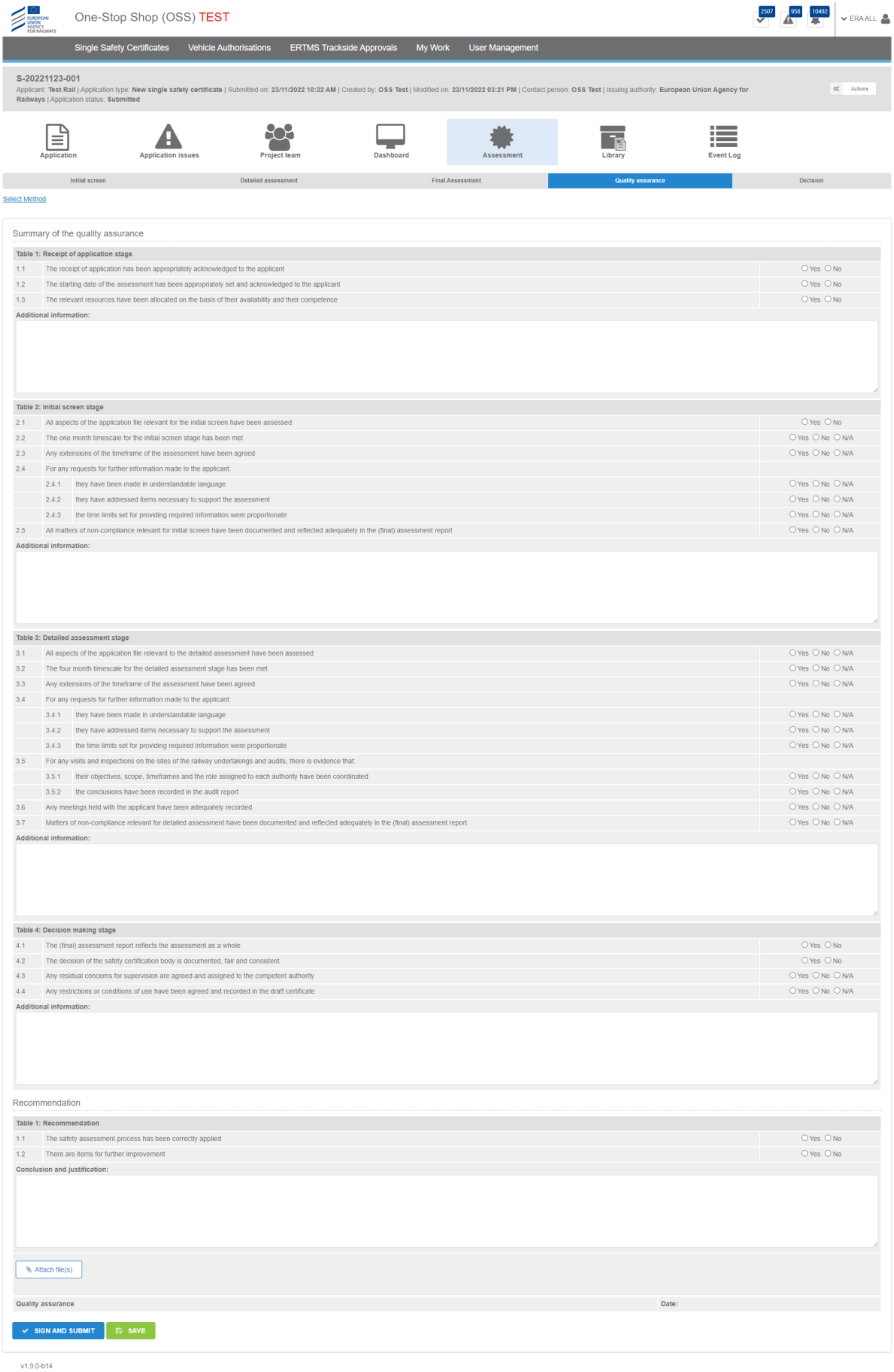

Figure 123: Quality Assurance web form

Initially the Assuror receives a notification on allocation to the application. At the same time, the Task about the submission of the reports has been opened in "My Work" section as shown in Figure 24.

An alternative way to submit the reports is through "Assessment" tab.

Initially the Assuror chooses to view an application and clicks on the tab "Assessment" and navigates to "Quality Assurance/Conclusion" tab. He/She selects the "Yes", "No", "N/A" radio buttons and he/she can upload/ attach any files needed for the report by clicking the "Attach files" button and after by selecting the "+" button.

Figure 124: Attach file(s)

Such action displays the Add file(s) page, shown in Figure 90. Please note that the system accepts as valid uploads the ones described in the File upload rules.

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the messaged displayed in Figure 92 is shown.

The Assuror selects on check box and after on "Attach files" button.

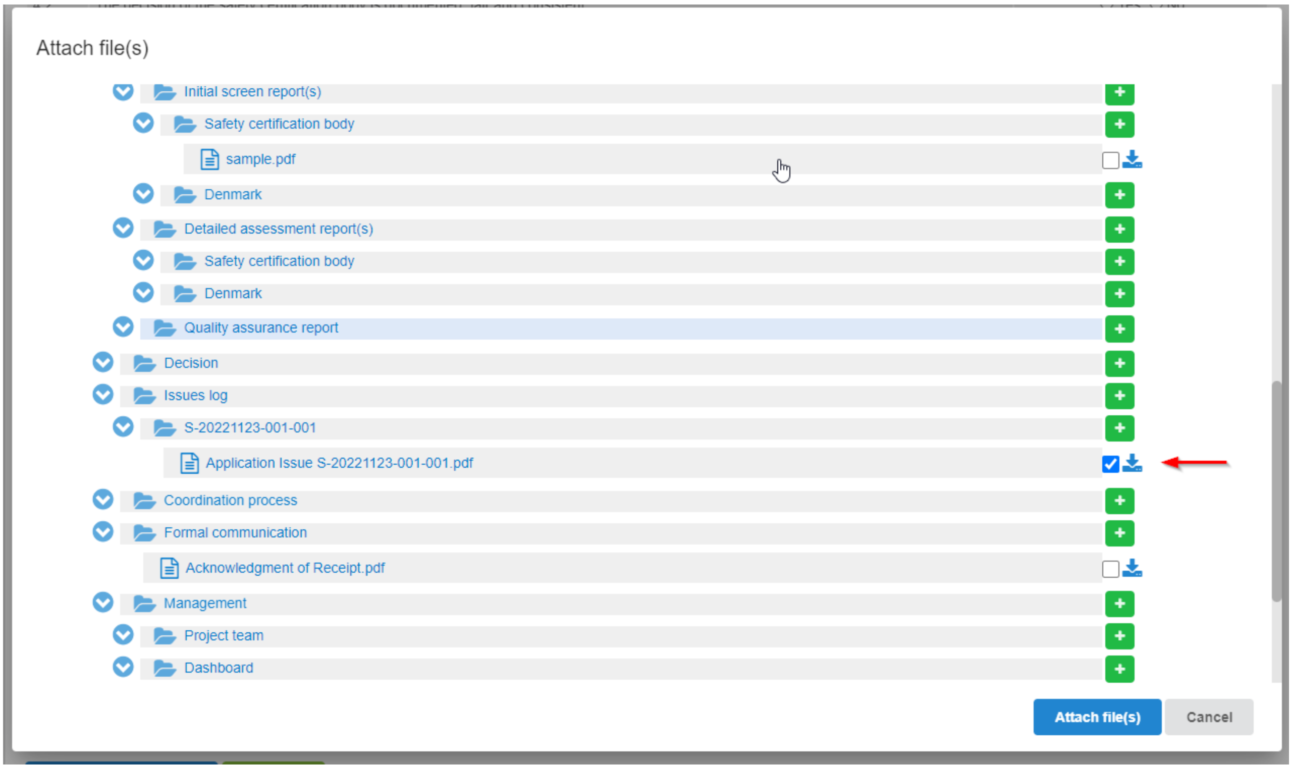

Figure 125: Attach file-check box

If "Save" button is used, the System saves as draft all information introduced and displays warnings where mandatory fields are not filled. If no warnings are found, then the system stores the report.

To save the report, the Assuror clicks on "Save" button (Figure 94). In this case he/she can further update the report.

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

To submit the report, the Assuror clicks on "Sign and Submit Quality Assurance report" button as shown in Figure 126.

Figure 126: Sign and submit Conclusion button

If the Assuror clicks on "Sign and Submit Quality Assurance report" button, the system displays a pop-up window. The Assuror selects the language in which the certificate is to be issued, as shown in Figure 107. After selecting language, the Assuror selects to download the report in order to print and sign it, selects to upload the signed copy of the report by choosing a file or drag and drop. Finally, he/she selects to submit the report. A confirmation message is displayed upon successful submission. The system appends a new version to the Quality Assurance report, stores it as part of the application information and notifies the PM and AR about the report. The report is submitted, and no other changes can be made. If the user before submitting, clicks on "Unlock application, he/she can update the report and change the inserted information.

If the AR selects to "Import Quality Assurance file" in the Quality Assurance/Conclusion Screen report, the system displays the below:

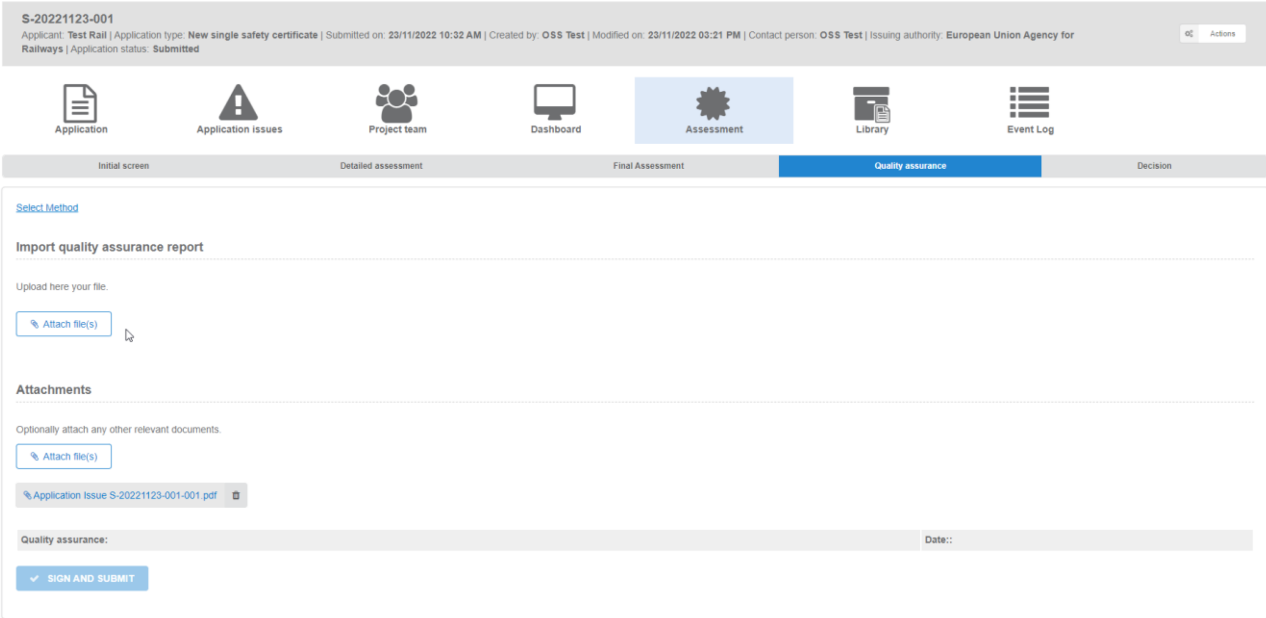

Figure 127: Import Initial Screen file

If the Assuror selects to "Import Quality Assurance file", the system allows to upload the offline prepared and signed copy of the report by clicking on the first "Attach files" button. Then the button "Sign and Submit Quality Assurance report" becomes active. Additionally, if the user selects to import Quality Assurance report, he/she can navigate to attachments section (Library) and upload all necessary documents by clicking on the second "Attach files" button. After the uploading the Assessor can select the button "Sign and Submit Quality Assurance report".

4.5.2. Submit conclusion report (VA)

If the Assuror selects to "fill-in the web form", the system displays the below screen:

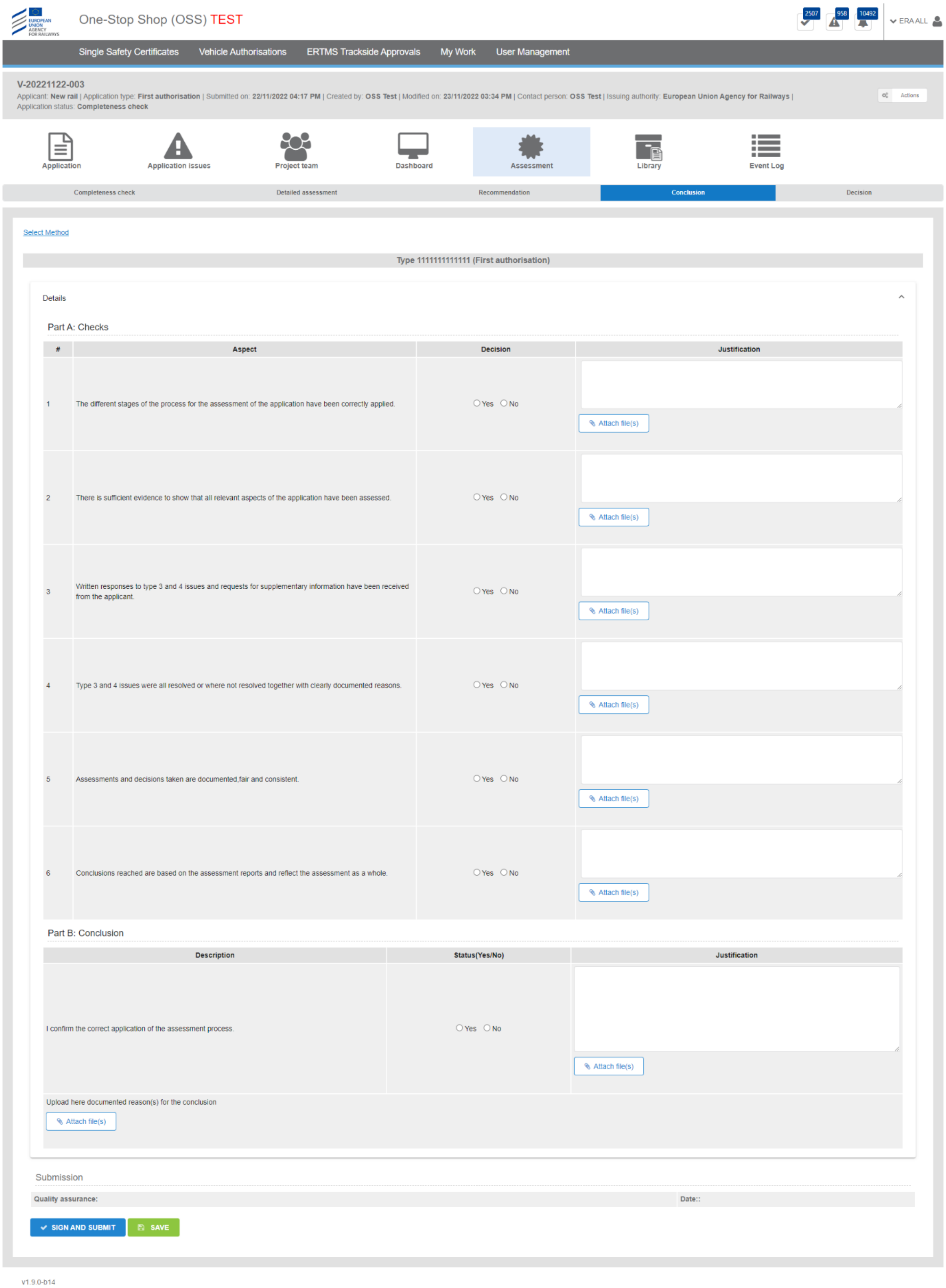

Figure 128: Conclusion report web form

The process of the uploading files is the same as described above in paragraph 4.4.

If the user clicks on “Sign &Submit Conclusion” button, a pop-up window is displayed requiring the Assessor to download the report as shown in Figure 112. He/She selects to download the report in order to print and sign it and after, selects to upload the signed copy of the report by choosing a file or drag and drop. After the submission, a confirmation message is displayed upon successful submission. The system appends a new version to the Quality Assurance report/Conclusion, stores it as part of the application information and notifies the AE PM and AR about the report.

If the Assuror selects to "Import Quality Assurance file", the system displays the below screen:

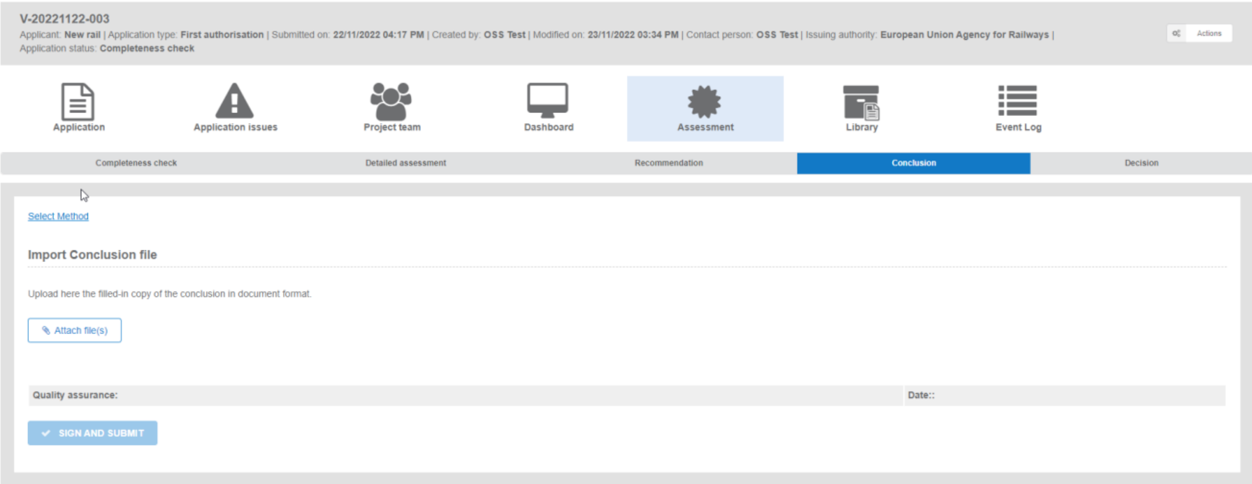

Figure 129: Import Conclusion file

4.5.3. Submit quality assurance report (TA)

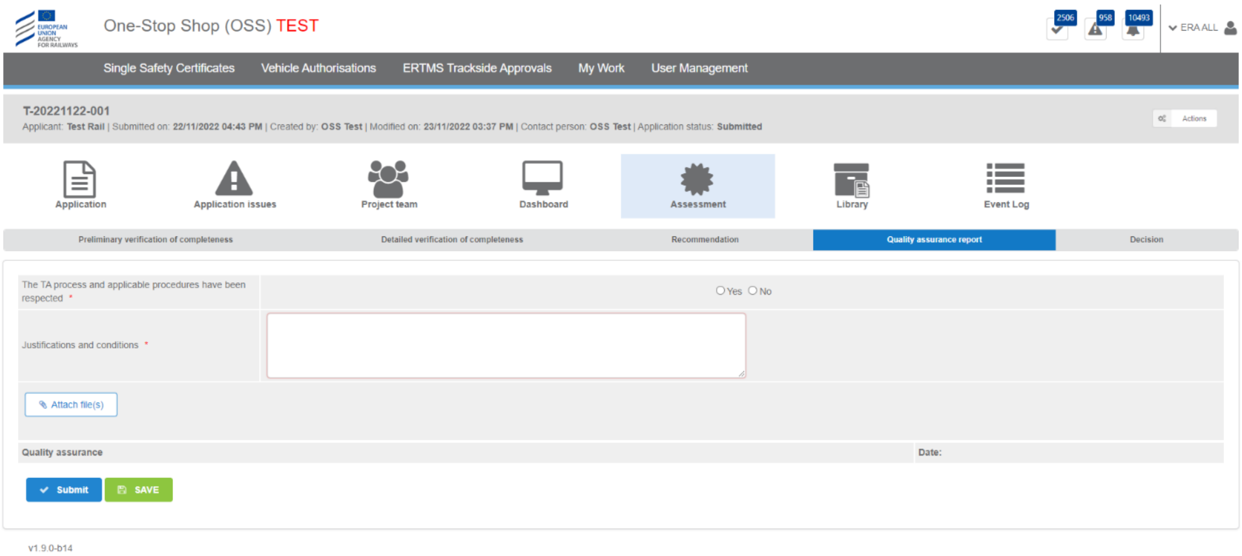

Figure 130: Quality Assurance report TA

For all the mandatory fields (with red asterisk) 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.

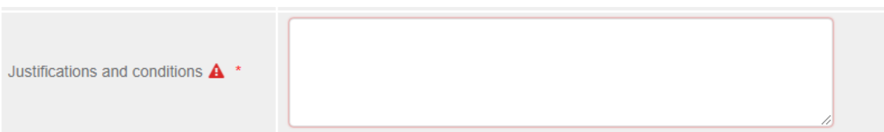

Figure 131: Alerts and fields in error

If the user selects to submit the report, a pop-up window is displayed. This process is described above for VA.

4.6. Tasks for Decision Makers (DM)

A Decision Maker is responsible for making the final decision for the authorisation or the refusal of the application SSC, VA and TA.

4.6.1. Submit decision (SSC)

The DM has access and can edit the Decision Report and the relevant Cover Letter and the Single Safety Certificate if one is to be issued. The Single Safety Certificate (SSC) is already filled in with information introduced by the PM in Final Assessment report but can be edited by the DM as shown in Figure 134.

Initially the Decision Maker receives a notification on allocation to the application. At the same time, the Task about the submission of the decision report has been opened in “My Work” section as shown in Figure 24.

An alternative way to submit the report is through “Assessment” tab. The DM selects to “View” an application, clicks on the tab “Assessment” and navigates to “Decision” tab. The Cover Letter” is pre-filled with information, although the DM can edit this form. The DM selects the “Yes, No, N/A radio buttons in the Decision-Making form. He/She also, can edit the report and upload/ attach any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button. If required fields are left empty, then the system allows him only to “Save” the report as shown in Figure 94. The submission is not possible. After the submission the status of the application is changed to “Completed”.

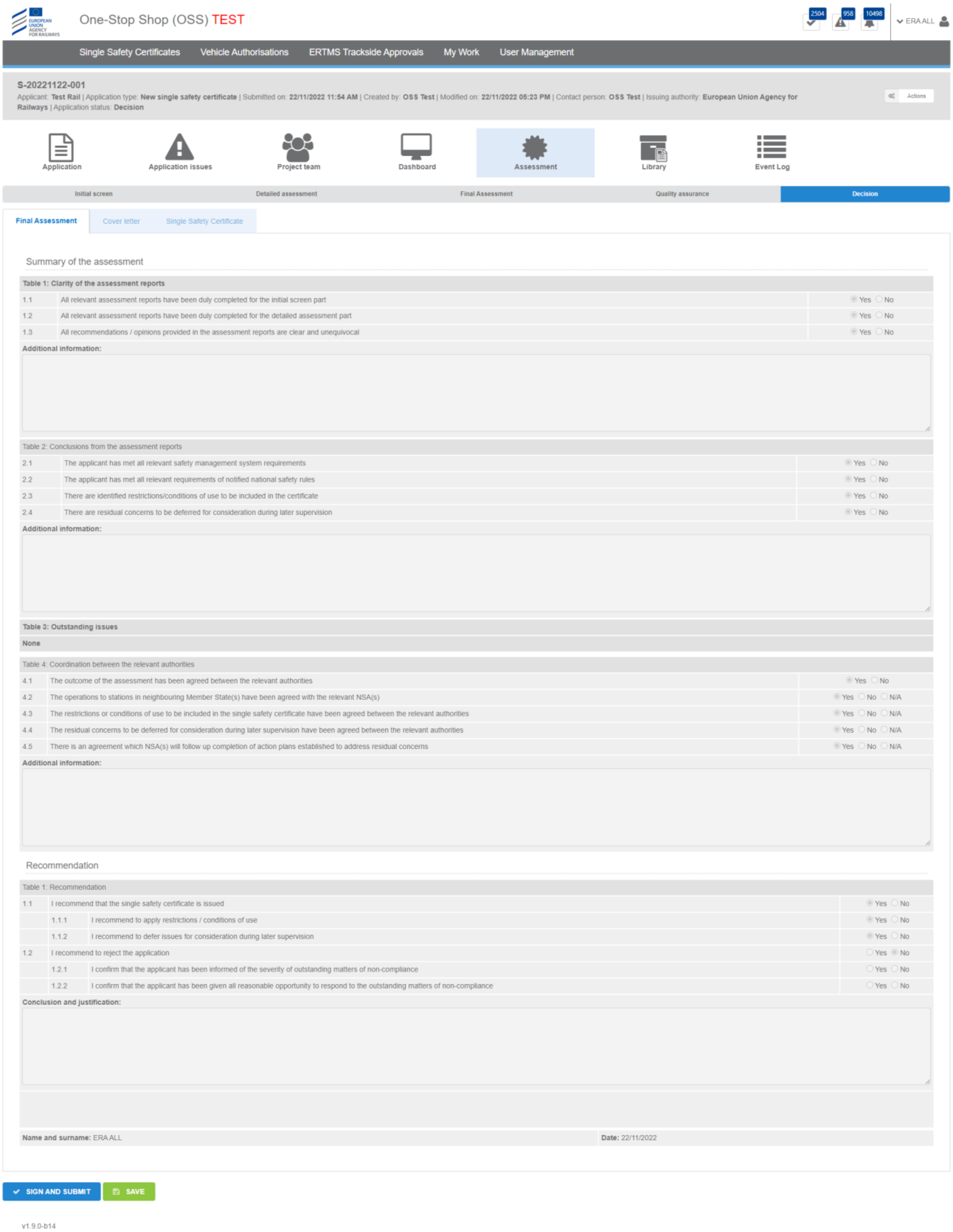

Figure 132: Decision report SSC

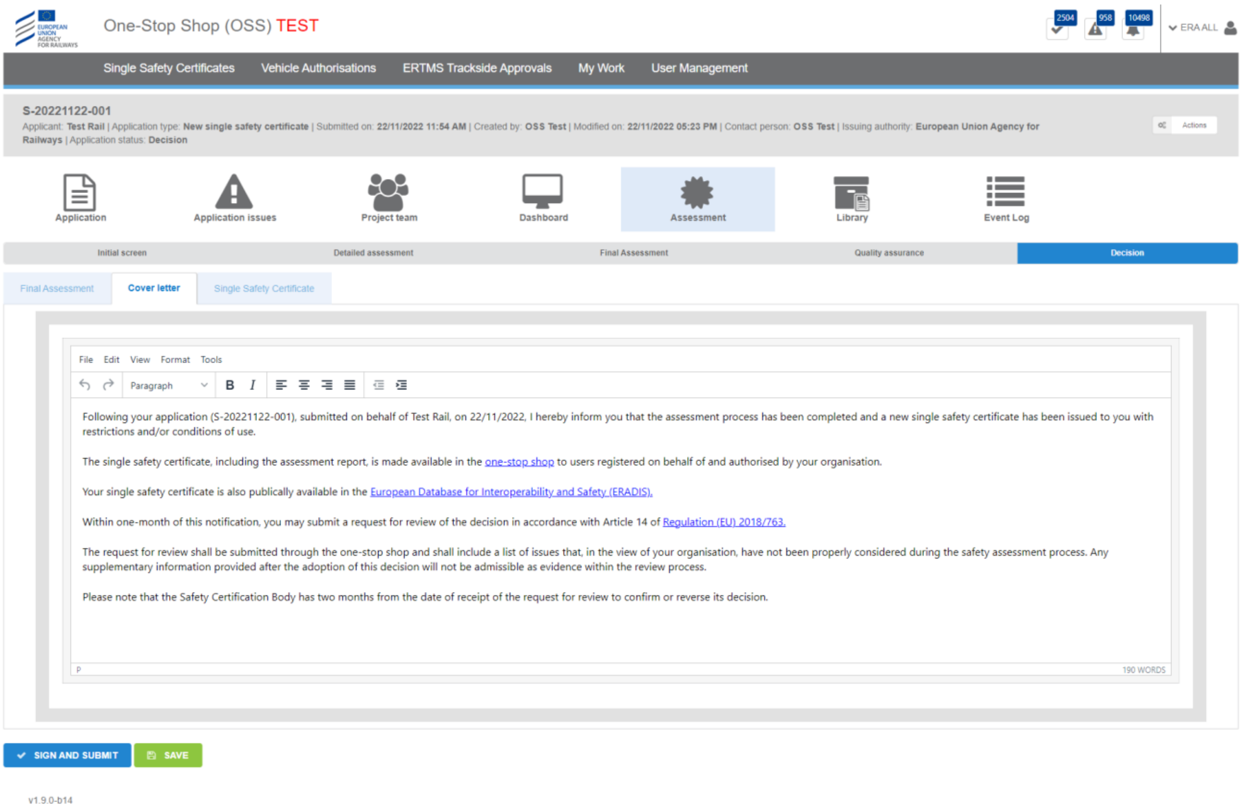

Figure 133: Cover letter SSC

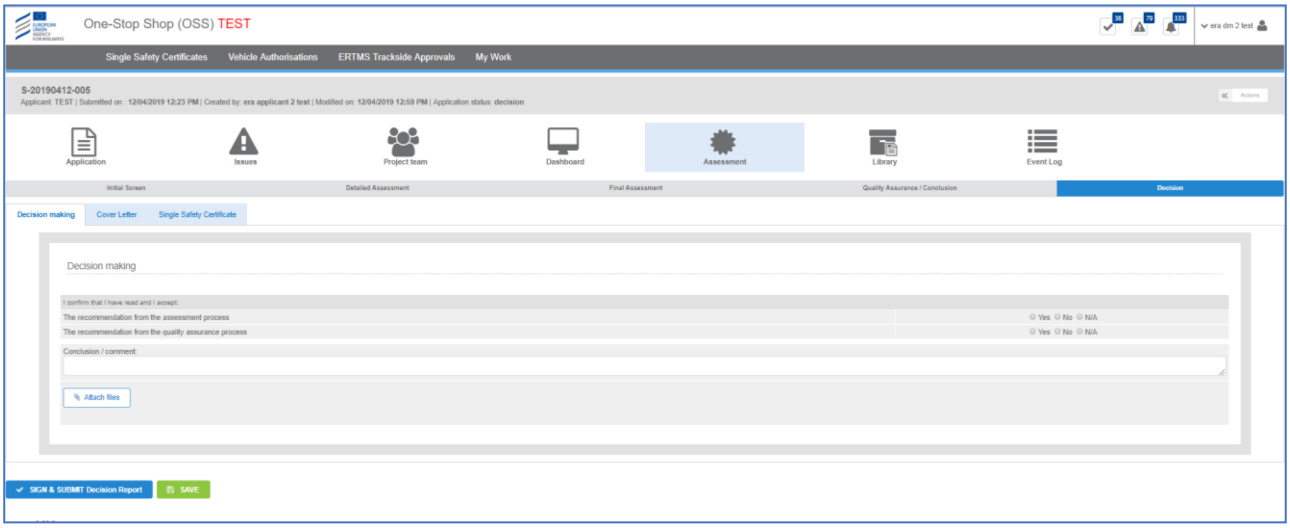

Figure 134: Decision report SSC

To save the report, the Decision Maker selects the “Save” button as shown in Figure 94. In this case he/she can update the saved information. If there is unsaved information a warning message is displayed to the user about loss of unsaved information as shown in Figure 95. To submit the report, the Decision Maker selects the “Sign and Submit Decision report” button as shown in Figure 136. When the DM selects to submit the system displays a pop- up window as shown in Figure 56. This pop-up window is displayed requiring the user to Download the cover letter and Single Safety certificate. Also, he/she downloads the cover letter and Single Safety Certificate in a zip folder in order to print and sign them. After that, the DM selects to upload the signed copy of the cover letter and the Single Safety Certificate by choosing a file or drag and drop and submits the report.

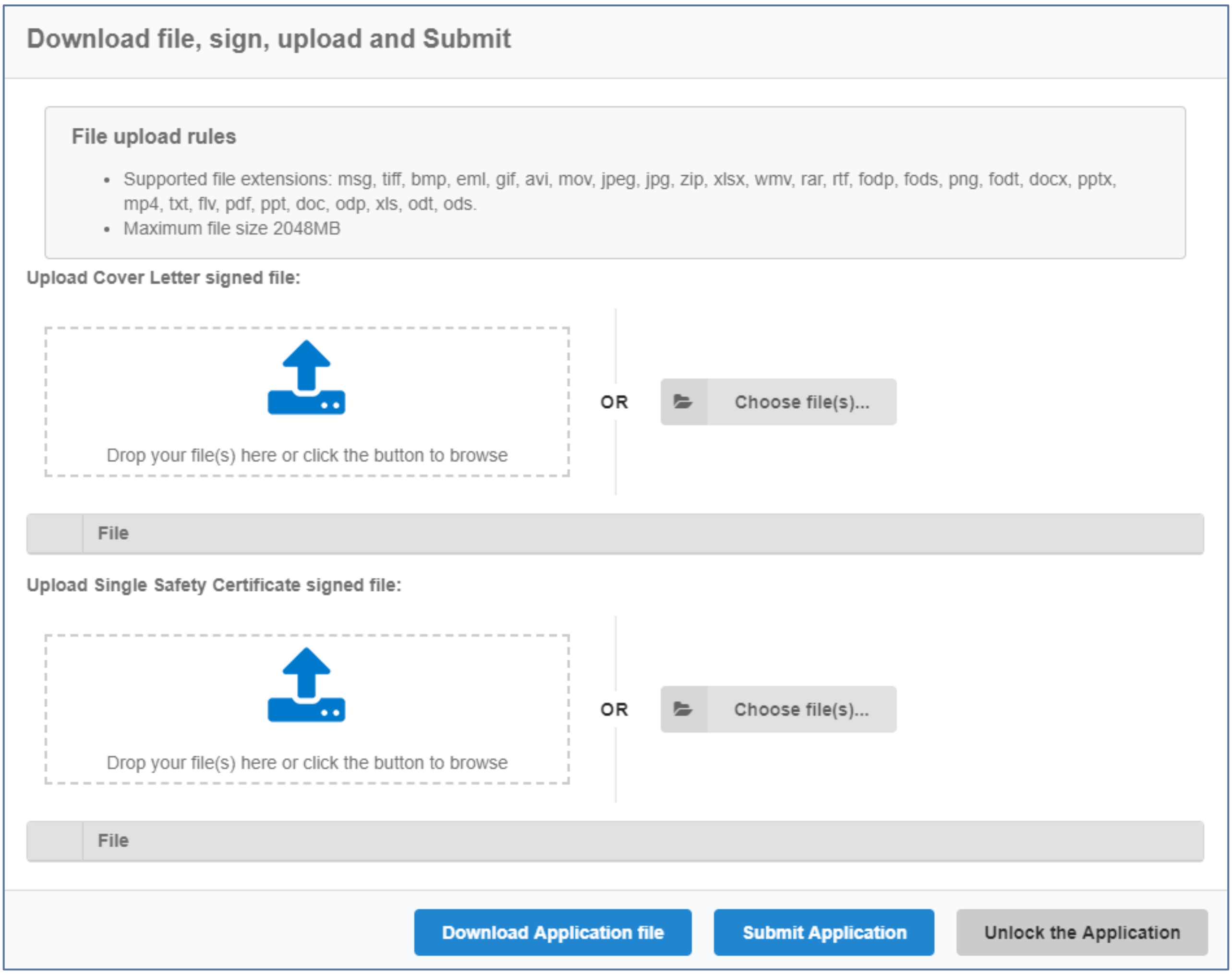

Figure 135: Sign and Submit pop-up window for Decision report SSC and VA

If the user before submitting, clicks on “Unlock application, he /she can update the report and change the inserted information.

Figure 136: Sign and Submit Decision button

4.6.2. Submit decision (VA)

An application for VA consists actually of several VA cases combined in the same application. This is reflected for example of the application file, where the AP dynamically builds its content. Each of the sections, as described below, actually corresponds to a VA, but at the same time is part of a combined VA application. At the end of the process, the decision could have a different outcome for the different sections/VA, meaning some VA might be authorized while some others not.

Also, the VA cases include two tasks for the DM: one for issuing the decision and another one for issuing the VA(s) (as many VA as the authorized sections included in the Application File).

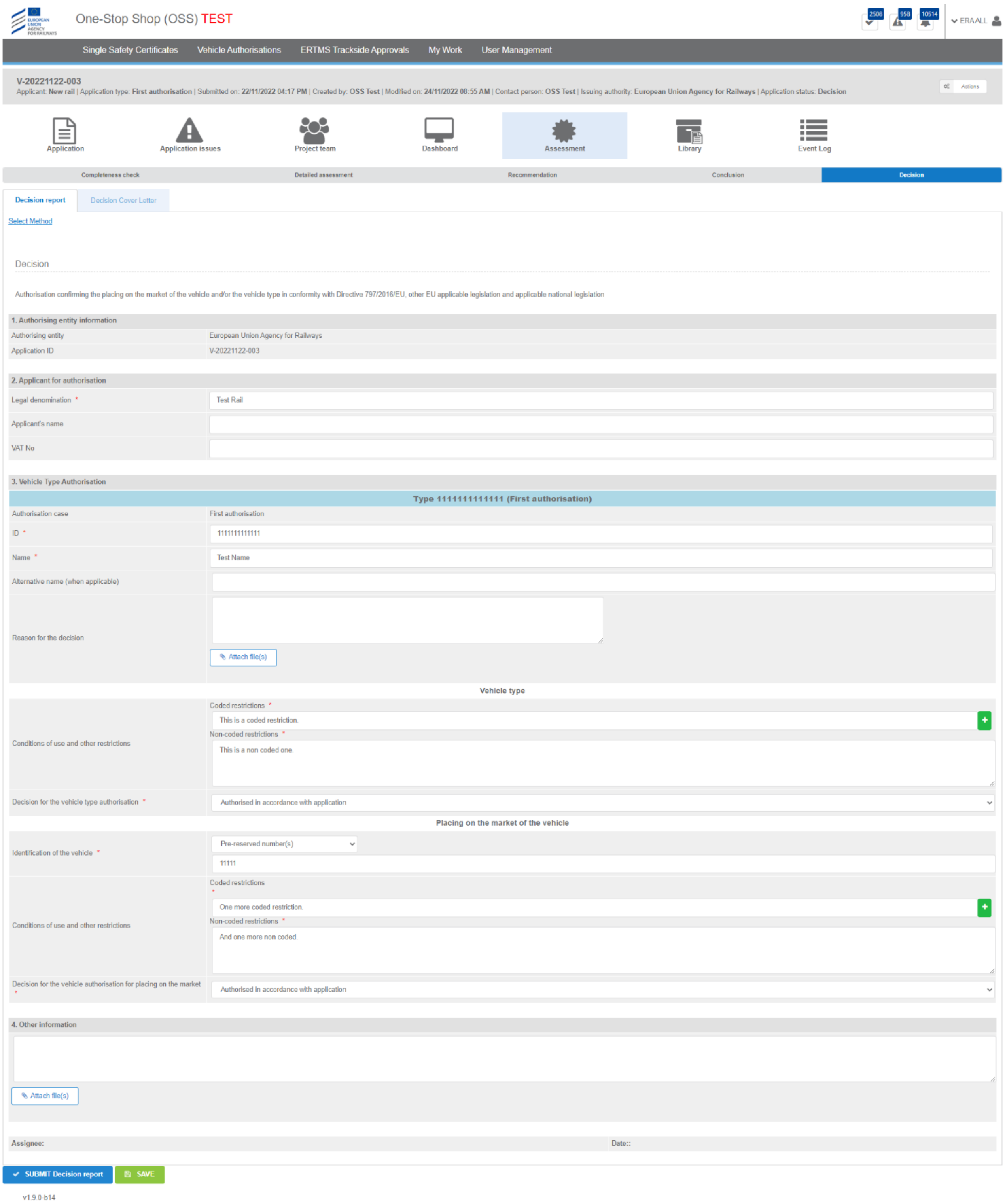

Figure 137: Decision report VA

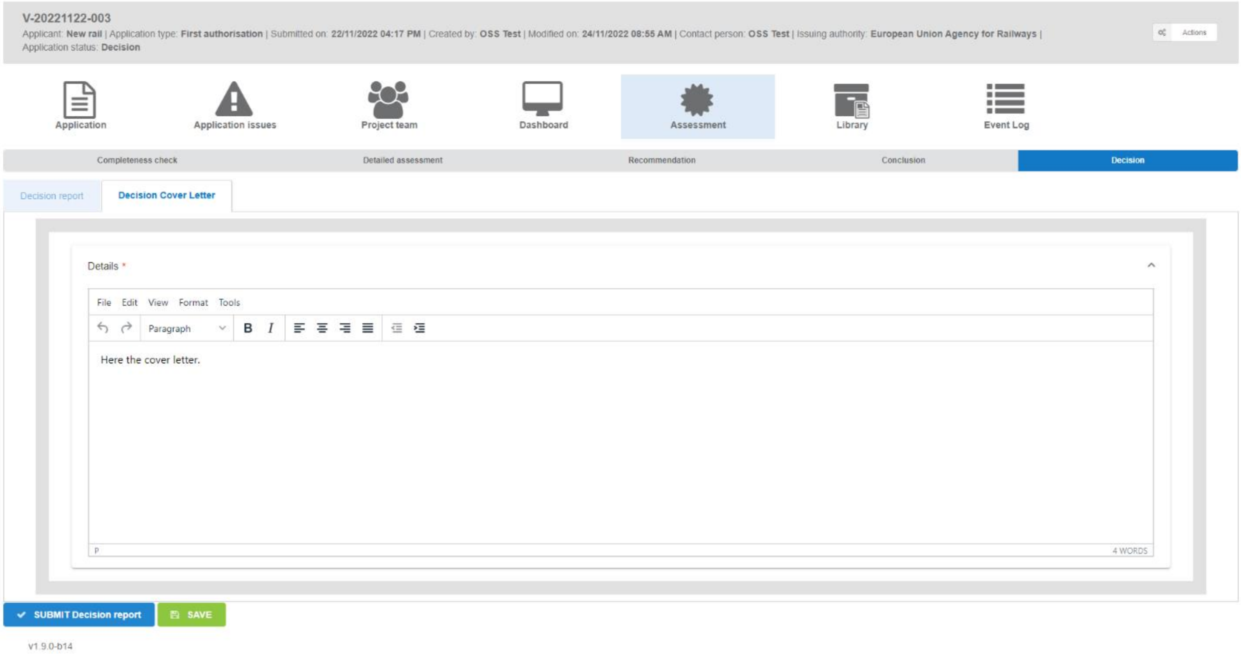

Figure 138: Decision Cover letter VA

This form is already filled in with the information of the Recommendation Report. The decision form is editable, and the DM can update fields or to attach any documents if it is necessary. The DM may provide the relevant information on the tabs Decision report, Decision cover letter, Authorisation Report and Authorisation Cover letter. (The authorisation tabs are disappeared if the choice of the dropdown list in the section “Decision for the vehicle authorisation for placing on the market” is “Refused” or “Fundamentally deficient”. If the user leaves empty required fields, then the system allows him to click only on “Save” button. The submission is not possible.

If the DM selects to submit the report, a pop-up window is displayed, as shown in Figure 135, requiring the DM to download the report and the Cover letter in order to print, sign them. The report and the cover letter are downloaded in a zip folder and the DM uploads the signed copy of this reports by choosing a file or drag and drop. A notification message upon successful submission is displayed. The system stores all information as part of the application and notifies the applicant, the involved PgMs and all assessment team members of the decision. If the user before submitting, clicks on “Unlock application, he/she can update the report and change the inserted information.

After the submission the status of the application is changed to “Completed”.

4.6.3. Submit VA authorisation report (VA)

For the Vehicle Authorisation (VA) applications in the Recommendation phase the Decision Maker is able to prepare and submit the Authorisation Report and the respective cover letter, as shown in Figure 139: Authorisation Report and Cover Letter.

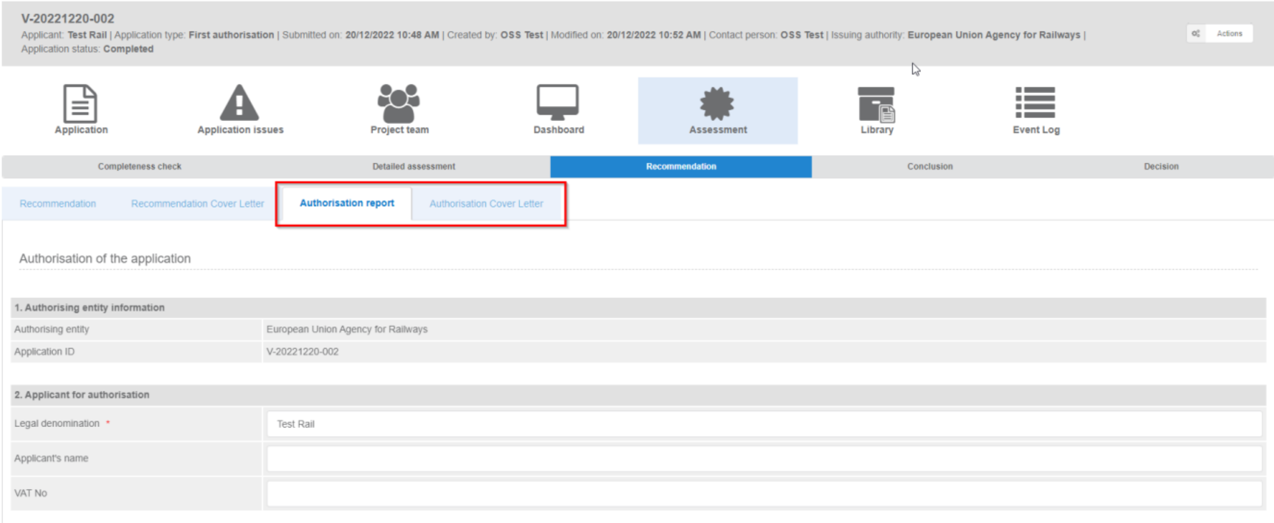

Figure 139: Authorisation Report and Cover Letter

4.6.4. *Submit decision (TA)*

The DM has access and can edit the “Decision Making” Report and the relevant “Cover Letter”. The decision report is already filled in with Applicant’s information, but the form can be edited by the DM as shown in Figure 140.

Initially the Decision Maker receives a notification on allocation to the application. At the same time, the Task about the submission of the decision report has been opened in “My Work” section.

An alternative way to submit the report is through “Assessment” tab. The DM selects to “View” an application, clicks on the tab “Assessment” and navigates to “Decision” tab. The Cover Letter” is pre-filled with information, although the DM can edit this form. He/She can edit the report and select any files needed for the report by clicking the “Attach files” button and after by selecting the “+” button. If required fields are left empty, then the system allows him only to “Save” the report. The DM also, can select and edit the Mapping Tables form from the dropdown list by selecting the uploaded files. If the user selects to submit the report, he/she clicks on “Sign & Submit Decision report” button. After the submission the status of the application is changed to “Completed”.

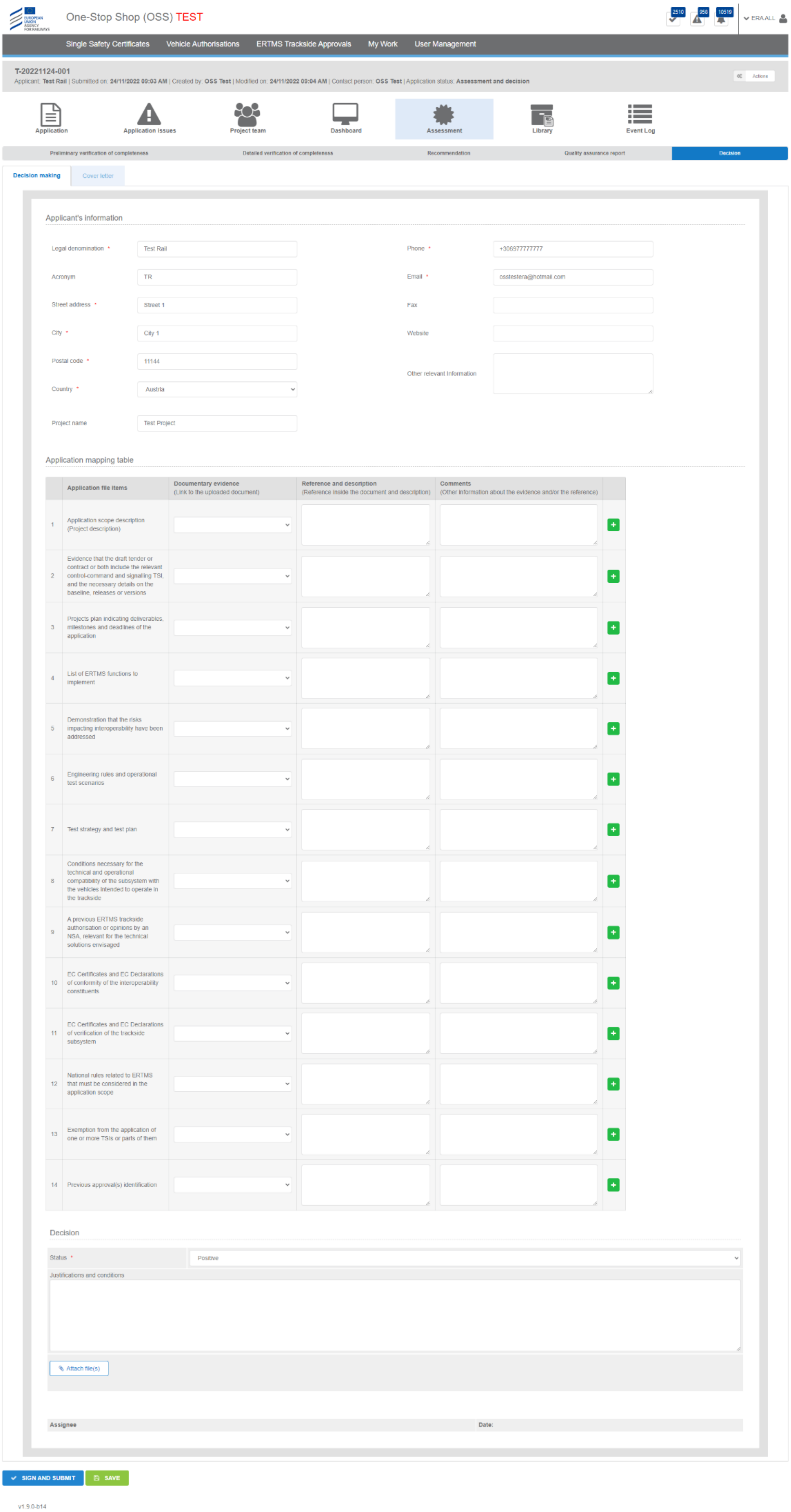
One-Stop Shop (OSS) TEST
Single Safety Certificates
Vehicle Authorisations
ERTMS Trackside Approvals
My Work
User Management
T-20221124-001
Application
Application issues
Project team
Dashboard
Assessment
Library
Event Log
Preliminary verification of completeness
Detailed verification of completeness
Recommendation
Quality assurance report
Decision
Decision making
Cover letter
Applicant's information
Legal denomination
Test Rail
Acronym
TR
Street address
Street 1
City
City 1
Postal code
11144
Country
Austria
Project name
Test Project
Phone
Email
Fax
Website
Other relevant information
Application mapping table
Application file items
Documentary evidence
Reference and description
Comments
Application scope description (Project description)
Evidence that the draft tender or contract or both include the relevant control-command and signalling TSI, and the necessary details on the baseline, releases or versions
Projects plan indicating deliverables, milestones and deadlines of the application
List of ERTMS functions to implement
Demonstration that the risks impacting interoperability have been addressed
Engineering rules and operational test scenarios
Test strategy and test plan
Conditions necessary for the technical and operational compatibility of the subsystem with the vehicles intended to operate in the trackside
A previous ERTMS trackside authorisation or opinions by an NSA, relevant for the technical solutions envisaged
EC Certificates and EC Declarations of conformity of the interoperability constituents
EC Certificates and EC Declarations of verification of the trackside subsystem
National rules related to ERTMS that must be considered in the application scope
Exemption from the application of one or more TSIs or parts of them
Previous approval(s) identification
Decision
Status
Positive
Justifications and conditions
Attach file(s)
Assignee
Date:
SIGN AND SUBMIT
SAVE

Figure 140: Decision report TA

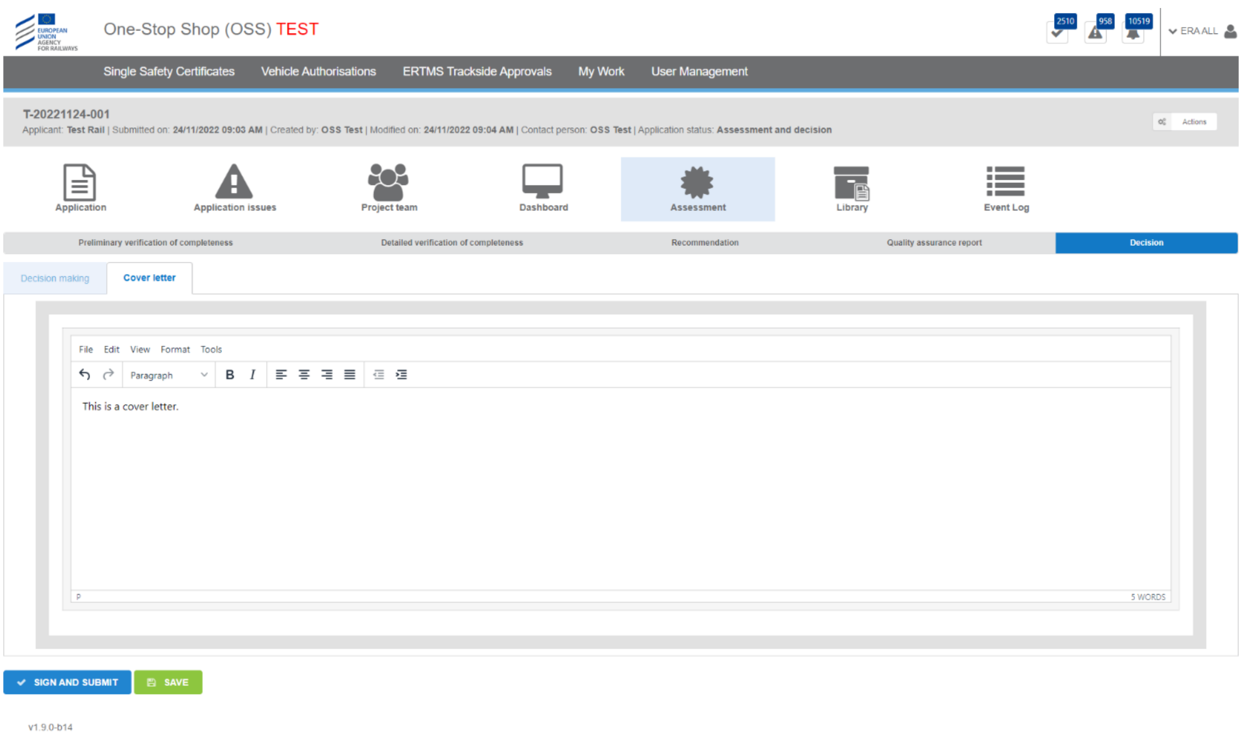

Figure 141: Cover letter in TA

4.6.5. *Request update of reports*

During the review of the Final Assessment report or Recommendation and Quality Assurance/Conclusion and the Decision, the DM may conclude that there are parts that need update by the Project Manager (PM), Assuror (AR), Decision Maker (DM) respectively. In this case, the DM can request the updates of the reports.

Specifically, the DM selects to view an SSC/VA/TA application, clicks on “Assessment tab” and then on Final Assessment/Recommendation and Quality Assurance/Conclusion tabs. He/She navigates to the Final Assessment report/Recommendation and Quality Assurance/Conclusion Report and selects the “Request for update” button (Figure 74). After this process, the system notifies the related Assuror (AR) or Project Manager (PM) of this request. The relevant task is open for the Project Manager (PM) or the Assuror (AR) in order to re-submit the report.

The DM can also update the Decision Report by clicking on “Update Decision” button, as shown in Figure 142, which exists on the Decision report. The process of the update is the same as described above.

Figure 142: Update decision

5. Issues and update of the application

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

1. By the assessment team to raise a problem during the assessment process, asking the applicant to provide evidence for resolving it;
2. By the applicant to communicate with the assessment team;
3. By the assessment team to communicate internally/within the assessment team.

An issue can:

1. Be created by any user involved in an application (i.e. issue creator or issue owner);
2. Be assigned to one or more users (issue assignee);
3. Be internal (i.e. visible only by the assessment team), or not.
4. Refer to a section of the application file, in order to allow for its update by the applicant.

5.1. Create Issue

A member of the assessment team can create an issue in order to indicate problems in the application file. In this case, a new issue can be created and assigned to the applicant. The issue can include a reference to an application file section so the applicant can update that part of the file. Once the issue is created, the applicant and the assessment team are notified about the issue and then the applicant can update the application.

The assessment team selects to View an application and clicks on “Application Issues” tab and then on ”Create issue” button as shown in Figure 143.

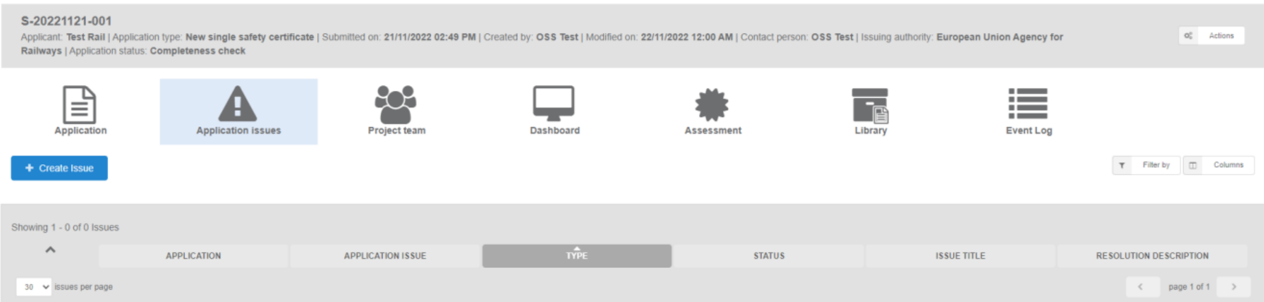

Figure 143: Issues SSC/VA/TA

The system displays the below screen:

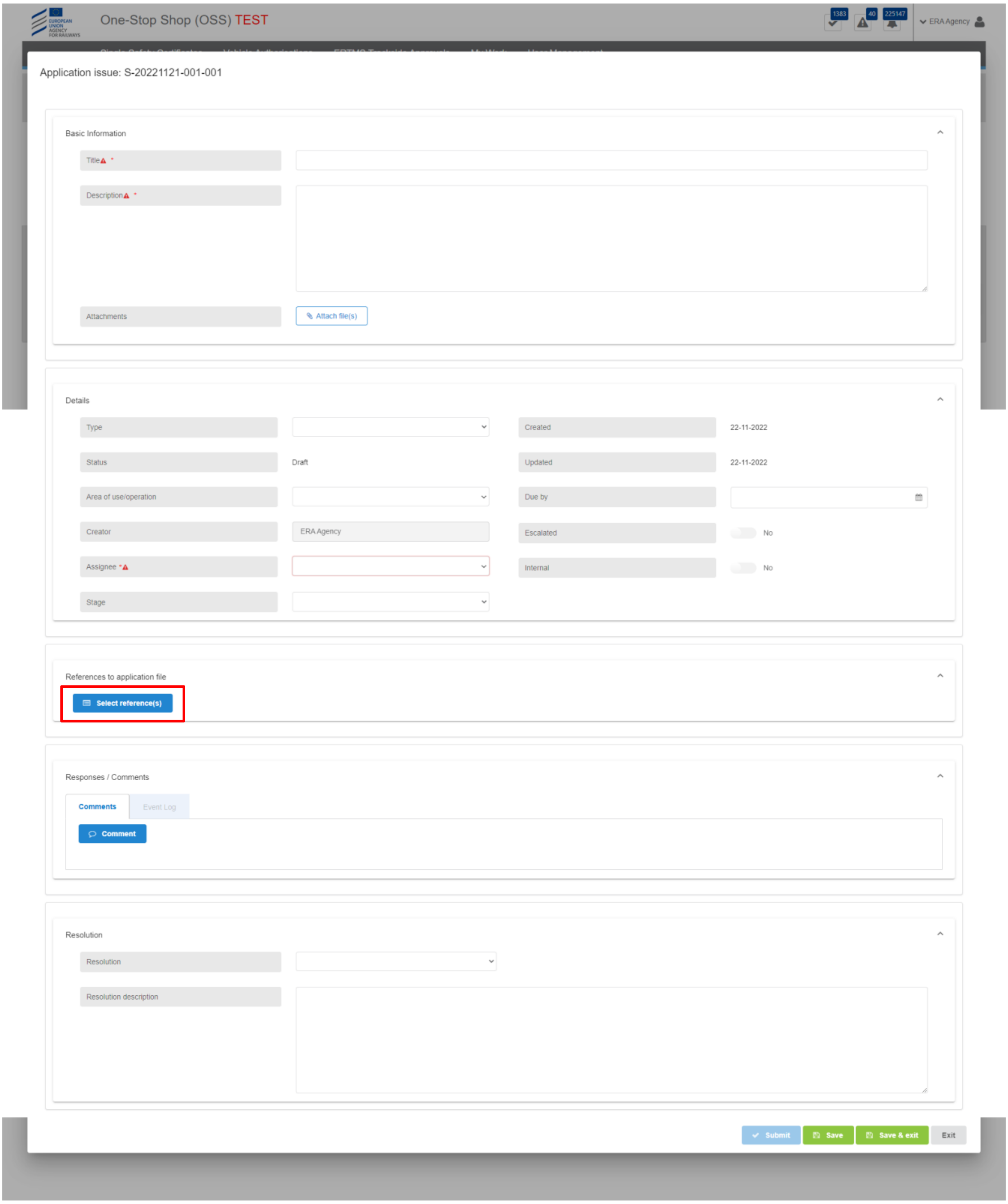

Figure 144: Issues form for SSC and VA

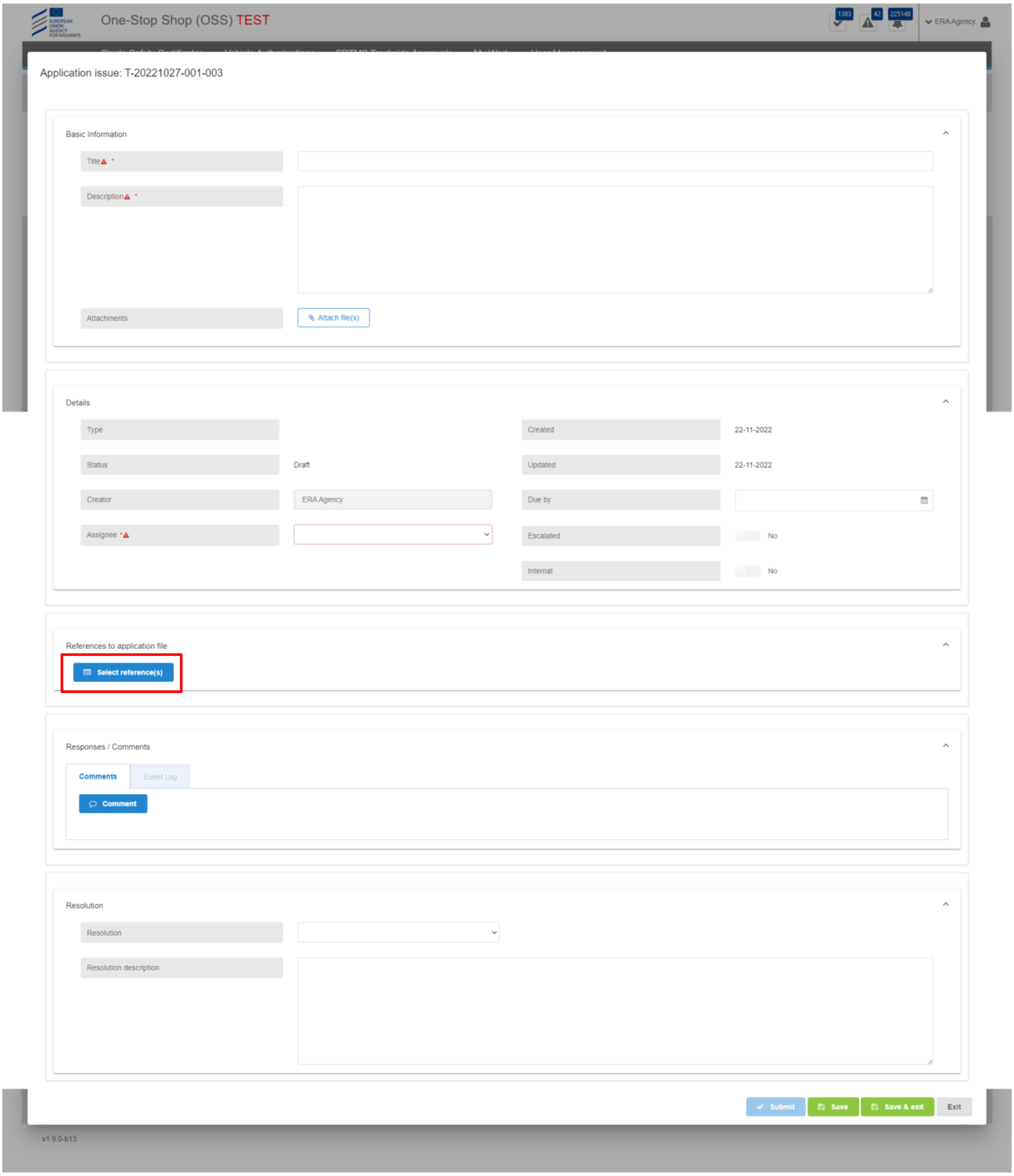

Figure 145: Issues form for TA

The member of the assessment team provides all mandatory information and selects as assignee the applicant. After he/she selects the “Select reference” button as shown in Figure 146.

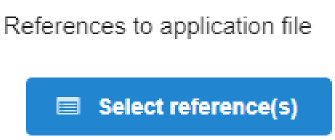

Figure 146: Select reference button

Then, the system displays the below screen:

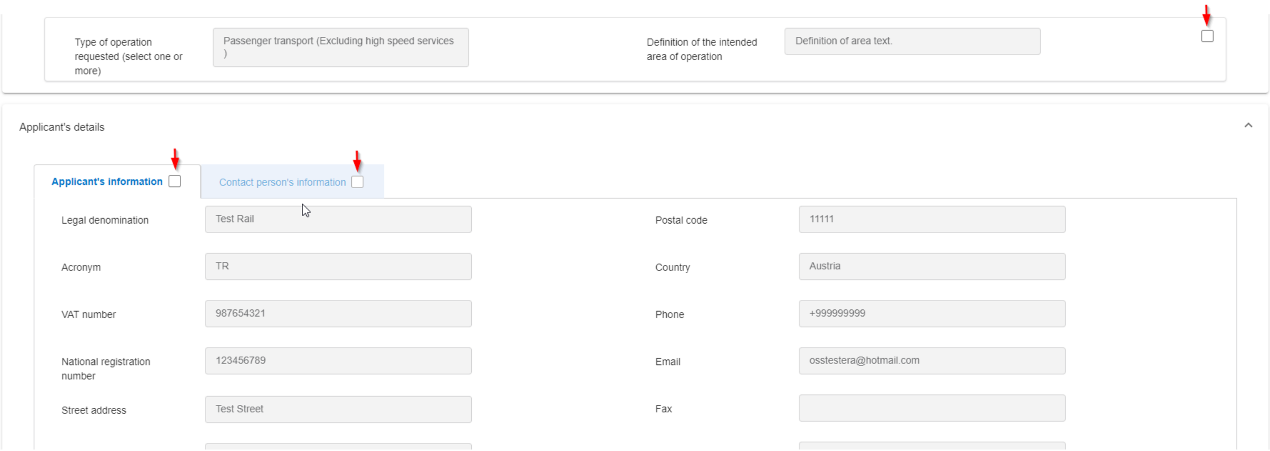

Figure 147: Check boxes for references

The user selects the available check boxes that need further editing by the applicant and selects the “OK”. The system displays the Create issue form again, and the user selects the “Save” button (“draft” status of issue), as shown in Figure 94. If he/she wants to submit the information the user selects the “Submit” button and the status of the issue is “Pending”.

Alternatively, the user selects the Application tab to view the application and then selects the check boxes that he/she would like to include as a reference to the application issue. After the references selection the user selects the “Create Issue” button and the “References to application file” is already filled in. The rest steps of the application issue creation process remain the same as above.

5.2. Close Issue

When a suitable response has been provided by the applicant and no residual matter of concern remains, the team provides the resolution description and then can close the issue selecting the “Close issue” button as shown in Figure 148.

A notification message is sent about the closure of the issue. The status of the issue is changed to “Closed” and the applicant and the assessment team except from the Decision Maker receive a notification about this change.

Figure 148: Close issue button

5.3. Reopen Issue

The member of the assessment team navigates to the application section and specifically to the section that was updated and when the evidence provided by the applicant is not satisfactory and additional information is still required, the member reopens the issue selecting the “Reopen issue” button as shown in Figure 149, and the status is “pending” again.

Specifically, the member follows the below process:

1. selects to “View” the issue from the Issues list
2. clicks on “Reopen issue” button if there is need for more update by the applicant and the status of issues is pending.
3. selects from the “Select reference” the sections that need more update.
4. provides all relevant information and ensures all mandatory information is filled
5. selects the “Submit” button

Figure 149: Reopen issue button

5.4. Internal issues and escalation

If the members of the assessment team, want to communicate concerning the application assessment process, they create an internal issue. The process of the creation of an issue is the same as described in the above paragraph. The only difference is that in this section the user selects “Yes” in the internal issue radio button.

If “YES” radio button is selected in the “Internal Issue” radio button, then the “Assignee” field includes only the assessment team in the dropdown list as shown in Figure 150.

If “YES” radio button is deselected, the “Assignee” field includes the applicant and the assessment team. In this case the applicant can view this issue if it is assigned to him.

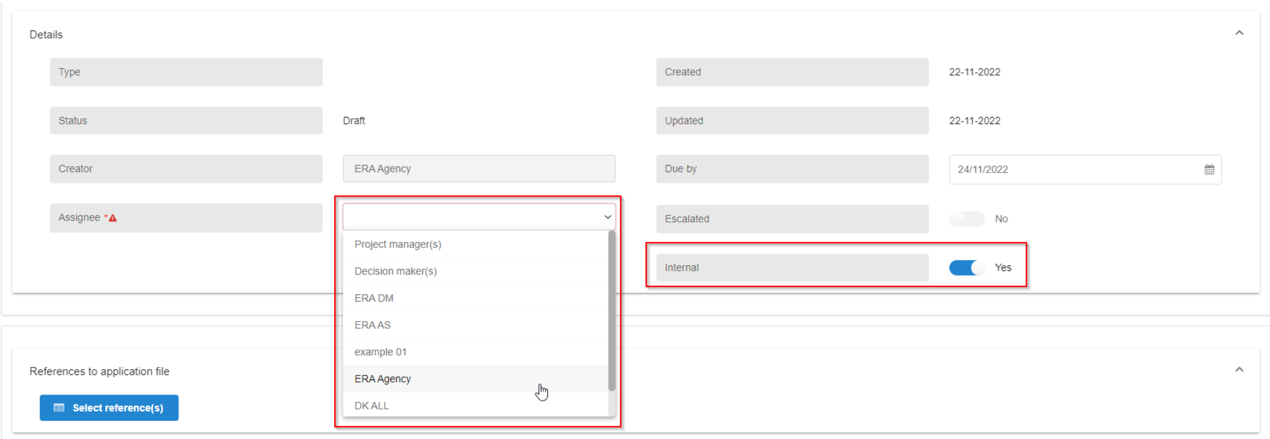

Figure 150: Internal Issue choice

If the issue is not responded on time, the owner has the possibility to escalate the issue. The escalation of an issue is carried out by the owner of the issue. The creator selects the option to escalate the issue, by activating the “Issue escalated” radio button in the create issue form. The system notifies the PM of the application and the relevant assessment members. Only the owner can set an issue to “Escalation”. The system sends a notification (and email), informing the assignees about the escalation. The Project Manager (PM) can undo the escalation.

6. Applications Library

6.1. Overview

Each application contains a Library in which are included the attached supporting documents and the documents produced during the assessment. Also, some automatically produced documents like acknowledgement receipts, are also included in the library of each application.

Below the general overview of the Library tab with its basic functionality.

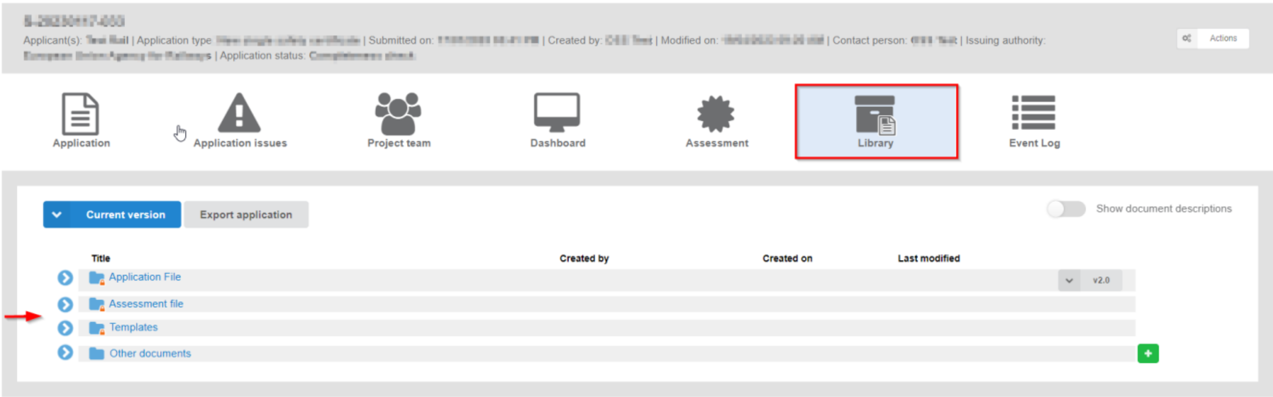

Figure 151: Library overview

In the part of the page is depicted the actual structure organized in folders. The content of each folder which differs per application type - i.e. SSC, VA, TA - will be presented in detail in section 6.2.

The general structure is organized in four main sections/folders as below:

- Application file
  - Containing the documents uploaded from the applicant
- Assessment file
  - Containing documents related with the assessment and the outcome/report of its specific step
- Templates
  - Containing templates per national authority
- Other documents
  - Containing various supporting documents which do not fall under any other category

6.2. Library structure

The library is organized in four main sections/folders as depicted in the below tables (Table 3,Table 4,Table 5). For each section and folder you may also find the respective description.

Note that all members of the assessment teams (Observers excluded) have equal access to the library items and folders.

Also note that the read only access of a folder is indicated with the  icon.

6.2.1. SSC library

Section	Folder/Subfolder	Description
Application file	Application form	The structure of the application form follows the structure of the application wizard.
	Documentation:	Read-only, no upload/update allowed directly in the library.

	• Evidence for SMS and TSI OPE part • Evidence for national part (NSA) • Other	For each NSA involved one folder is created containing the related with each MS files.
	Mapping tables: • SMS and TSI OPE part • National part (NSA)	Read-only, no upload/update allowed directly in the library.
Assessment file	Assessment reports: • Initial screen report(s) • Detailed assessment report(s) • Quality assurance report	Visible for the project team only, upload/update allowed directly in the library. Reports are available for each authority (ERA, NSA(s)).
	Decision	Visible to the project team only and to the applicant after a decision is submitted and signed by the decision-maker, upload/update by the project team allowed directly in the library. Contains: • The cover letter • The final assessment report • The single safety certificate
	Issue log	List of issues registered during the assessment. Each issue under a different folder. When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the project team. Upload/update by the project team allowed directly in the library, only possible for the applicant when the issue is assigned to it and is not closed (or the applicant has not requested its closure yet).
	Coordination process	Visible for the project team only, upload/update allowed directly in the library. Contains: • Supervision summary form(s) (or equivalent) filled in by the NSA(s). • Minutes of meetings and any supporting documents. • Any opinions of the NSAs following the consultation on border stations/sections. • Any formal disagreements between authorities (e.g. with regard to the content of an assessment report). • Any request submitted by the applicant before the Board of Appeal, decision of the Board of Appeal following the arbitration procedure. • Any request submitted by the NSA(s) before the Board of Appeal, findings of the Board of Appeal following the appeal procedure.
	Formal communication	Visible to all, only the project team can upload/update documents. Contains:

		• The acknowledgement of receipt of the application (automatically generated). • Any official letters (electronic copy) and emails shared between ERA and the different parties (i.e. the applicant, the NSAs), which enclose (but are not limited to) the outcomes of the coordination (i.e. the draft and final minutes of meeting) and of the consultation on border stations/sections as appropriate.
	Management: • Project team • Dashboard • Warnings • Events log • Financial documents • Lessons Learned • Other management documents	**'Project team'** visible to all, upload/update by the project team allowed directly in the library. **'Dashboard'** visible to all, upload/update by the project team allowed directly in the library. **'Warnings'** visible to all, upload/update by the project team allowed directly in the library. **'Events log'** visible to all according to the access rights, upload/update by the project team allowed directly in the library. **'Financial documents'** only visible to the project team, upload/update allowed directly in the library. Contains cost estimate (when requested by the applicant). **'Lessons Learned'** only visible to the project team, upload/update allowed directly in the library. **'Other management documents'** only visible to the project team, upload/update allowed directly in the library. Contains allocation request of experts from the pool of experts to be appointed by one or more NSAs, timesheets for members of the pool of experts (if not provided or sufficiently detailed in the NSA statement of cost).
Templates	• Assessment report • Quality assurance report • Audit and inspection report • Review report • Final review report • Cost estimate by NSA • Cost estimate by ERA • NSA statement of costs • Supervision summary form • Timesheet for the PoE	Visible to all except the applicant, no upload/update allowed directly in the library. One folder per NSA.
Other documents		Visible to all, upload allowed. Contains invoices (also called recovery orders) and ERA cost estimate (including the NSA cost estimate) when requested by the applicant.

Table 3: SSC library content

6.2.2. *VA library*

Section	Folder/Subfolder	Description
Application file	Application form	The structure of the application form follows the structure of the application wizard.
	Documentation:	Read-only, no upload/update allowed directly in the library. The exact list differs based on the authorisation type.
	Mapping tables: • Authorising entity part • National part (NSA)	Read-only, no upload/update allowed directly in the library.
Assessment file	Assessment reports: Completeness check report(s) • Conclusion report • Detailed assessment report(s)[2] • Evaluation[3]	Visible for the project team only, upload/update allowed directly in the library. Reports are available for each authority (ERA, NSA(s)).
	Recommendation	Visible for the project team only, upload/update allowed directly in the library. Reports are available for each authority (ERA, NSA(s)). Contains: • Recommendation report • Cover letter
	Recommendation Authorisation[4]	Visible for the project team only, upload/update allowed directly in the library. Reports are available for each authority (ERA, NSA(s)). Contains: • Recommendation Authorisation report • Cover letter
	Opinion[5]	Visible for the project team only, upload/update allowed directly in the library.

[2] Applicable only in Application phase
[3] Applicable only in Pre-engagement phase
[4] Applicable only in Application phase
[5] Applicable only in Pre-engagement phase

		Reports are available for each authority (ERA, NSA(s)). Contains: • Opinion report • Cover letter
	Decision[6]	Visible to the project team only and to the applicant after a decision is submitted and signed by the decision-maker, upload/update by the project team allowed directly in the library. Contains: • Decision report • Cover letter
	Authorisation[7]	Visible to the project team only and to the applicant after a decision is submitted and signed by the decision-maker, upload/update by the project team allowed directly in the library. Contains: • Authorisation report • Cover letter
	Issue log	List of the issues registered during the assessment. Each issue under a different folder. When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the project team. Upload/update by the project team allowed directly in the library, only possible for the applicant when the issue is assigned to it and is not closed (or the applicant has not requested its closure yet).
	Coordination process	Visible for the project team only, upload/update allowed directly in the library. Contains: • Supervision summary form(s) (or equivalent) filled in by the NSA(s). • Minutes of meetings and any supporting documents.

[6] Applicable only in Application phase
[7] Applicable only in Application phase

		• Any opinions of the NSAs following the consultation on border stations/sections. • Any formal disagreements between authorities (e.g. with regard to the content of an assessment report). • Any request submitted by the applicant before the Board of Appeal, decision of the Board of Appeal following the arbitration procedure. • Any request submitted by the NSA(s) before the Board of Appeal, findings of the Board of Appeal following the appeal procedure.
	Formal communication	Visible to all, only the project team can upload/update documents. Contains: • The acknowledgement of receipt of the application (automatically generated). • The acknowledgement of completion of the application. • Any official letters (electronic copy) and emails shared between ERA and the different parties (i.e. the applicant, the NSAs), which enclose (but are not limited to) the outcomes of the coordination (i.e. the draft and final minutes of meeting) and of the consultation on border stations/sections as appropriate.
	Management: • Project team • Dashboard • Warnings • Events log • Financial documents • Lessons Learned • Other management documents	'Project team' visible to all, upload/update by the project team allowed directly in the library. 'Dashboard' visible to all, upload/update by the project team allowed directly in the library. 'Warnings' visible to all, upload/update by the project team allowed directly in the library. 'Events log' visible to all according to the access rights, upload/update by the project team allowed directly in the library. 'Financial documents' only visible to the project team, upload/update allowed directly in the library. Contains Cost estimate (when requested by the applicant).

		'Lessons Learned' only visible to the project team, upload/update allowed directly in the library. 'Other management documents' only visible to the project team, upload/update allowed directly in the library. Contains allocation request of experts from the pool of experts to be appointed by one or more NSAs, timesheets for members of the pool of experts (if not provided or sufficiently detailed in the NSA statement of cost).
Templates		
Other documents		Visible to all, upload allowed.

Table 4: VA library content

6.2.3. TA library

Section	Folder/Subfolder	Description
Application file	Application form	The structure of the application form follows the structure of the application wizard.
	Documentation	Read-only, no upload/update allowed directly in the library.
	Mapping tables	Read-only, no upload/update allowed directly in the library.
Assessment file	Preliminary verification of completeness	Visible for the ERA project team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.
	Detailed verification of completeness	Visible for the ERA project team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.
	Quality assurance report	Visible for the ERA project team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.
	Opinion(s)	Visible for the ERA project team only, upload/update allowed directly in the library.
	Recommendation	Visible for the ERA project team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access. Contains: • The cover letter • The recommendation report
	Decision	Visible for the ERA project team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.

		Contains: • The cover letter • The decision report
	Application issues log	When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the project team. Upload/update by the project team is allowed directly in the library, and it is only possible for the applicant when the issue is assigned to it and is not closed (or the applicant has not requested its closure yet).
	Formal communication	Visible to all, only the project team can upload/update documents. Contains: • The acknowledgement of receipt of the application (automatically generated). • End of submission and verification of completeness notification letters.
	Management: • Events log • Financial documents • Other management documents • Lessons Learned	**'Events log'** visible to all according to the access rights, upload/update by the project team allowed directly in the library. **'Financial documents'** only visible to the project team, upload/update allowed directly in the library. **'Other management documents'** only visible to the project team, upload/update allowed directly in the library. **'Lessons Learned'** only visible to the project team, upload/update allowed directly in the library.
Other documents		Visible to all, upload allowed.

Table 5: TA library content

7. Pre-engagement (PE)

7.1. SSC PE

SSC pre-engagement means a procedural stage preceding the submission of an application for SSC, performed upon request of the applicant.

The processes for registration, sign in, update user profile, forgot password, assign roles by PGM, the screen “My Work”, the functionalities of Issues and the Application Details Screen are the same in SSC and SSC PE. The only difference is that in the SSC pre-engagement there is no assessment process, thus the “Assessment” tab in the section “Application Details screen” is missing. These processes are described in the previous sections of this document.

7.2. VA PE

VA pre-engagement means a procedural stage preceding the submission of an application for SSC, performed upon request of the applicant.

The VA pre-engagement workflow is in general the same with VA, meaning the same tasks exist, but the naming of the assessment tasks is changed to Completeness Check, Evaluation, Conclusion and Opinion. The same Pre-engagement types exist (as many as the VA cases) and the web forms are similar. Milestones are the same as for VA, with different naming and milestone for the decision is 2 months from the start of the assessment (T0). For every subsequent pre-engagement application, the decision milestone is 1 month from T0.

The processes for registration, sign in, update user profile, forgot password, assign roles by PGM, the screen "My Work, the functionalities of Issues and the Application Details Screen are the same in VA and VA PE.