EUROPEAN UNION AGENCY FOR RAILWAYS

Making the railway system
work better for society.

# User guide for assessment teams

## *One Stop Shop [ERA-DRO-010]*

| | *Drafted by* | *Validated by* | *Approved by* |
|---|---|---|---|
| *Name* | | | |
| *Position* | | | |
| *Date* | | | |
| *Signature* | | | |

*Document History*

| *Version* | *Date* | *Comments* |
|---|---|---|
| 2.0 | 17/06/2026 | Update based on OSS v1.12. |

## Table of Contents

# 1. Introduction

## 1.1. The One-Stop Shop (OSS)

The One-Shop Stop (OSS) is an information and communications system developed and maintained by the European Union Agency for Railways (ERA) pursuant to Article 12 of Regulation (EU) 2016/796 of the European Parliament and of the Council of 11 May 2016 on the European Union Agency for Railways and repealing Regulation (EC) No 881/20041 (the Agency Regulation).

The use of the OSS is mandatory for submitting and managing applications and related files for:

- **Vehicle type and vehicle authorisations for placing on the market vehicles** in accordance with Articles 21, 24 and 25 of Directive (EU) 2016/797 of the European Parliament and of the Council of 11 May 2016 on the interoperability of the rail system within the European Union 2, and the practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.
- **Single safety certificates** in accordance with Article 10 of Directive (EU) 2016/798 of the European Parliament and of the Council of 11 May 2016 on railway safety4 and the practical arrangements for issuing single safety certificates to railway undertakings.
- **Approvals of trackside control-command and signalling subsystems involving ETCS and/or GSM-R equipment (ERTMS trackside approvals**) in accordance with Article 19 of Directive (EU) 2016/797 of the European Parliament and of the Council of 11 May 2016 on the interoperability of the rail system within the European Union.

Further information on the above **business processes** (also called hereinafter **business domains**) can be found on the ERA website:

- Vehicle Authorisations (VA)
- Single Safety Certificate (SSC)
- ERTMS Trackside Approvals (TA)

The OSS is accessible through the following link: https://oss.era.europa.eu

Prerequisites for using the OSS are defined in its Terms of Use, available from the OSS sign-in page.

## 1.2. Purpose and scope of this document

This user guide for SSC, VA and TA assessment teams contains all essential information to make use of the system functionalities, including a description of the detailed features and capabilities, and step-by-step procedures.

## 1.3. How to request support

Our IT Helpdesk team is ready to assist you with any issues related to the OSS and business processes and can be reached using the 'Support' link on the OSS sign-in page that will redirect you to the 'Contact us' page of the ERA website.

The helpdesk service staff is available to respond to your requests on weekdays, from **Monday to Friday**, during working hours (Central European Time). Please note that the helpdesk is not operational on weekends.

Before you contact our IT Helpdesk, we advise consulting the Frequently Asked Questions available from the 'Contact us' page of the ERA website.

### 1.4. User roles, business domains and organisations

Access to the system functions and information is managed through a model of user roles. The latter are split between roles that are specific to a given application submitted in the OSS and those that are system wide (i.e. not specific to an application).

| Application specific roles | System-wide roles |
|---|---|
| Applicant (AP) | Program Manager (PgM) |
| Project Manager (PM) | User Manager (UM) |
| Assessor (AS) | |
| Assuror (AR) | |
| Decision Maker (DM) | |
| Financial Officer (FO) | |
| 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 National Safety Authority (NSA) representatives to their organisation 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 – irrespective of the organisation they belong to – must create an individual user profile in SRMO (Stakeholder Relationship Management) portal** by using the '[My ERA Profile](#)' link from the ERA website, selecting the '[Create an account](#)' tab and following the on-screen instructions.

Upon successful registration, the User Manager (UM) of the Authority (i.e. ERA or the National Safety Authority) can create a new user in OSS for its organisation by clicking on the respective button (see Figure 1) and by searching the newly created user by its email (see Figure 2).


Figure 1: User Manager screen

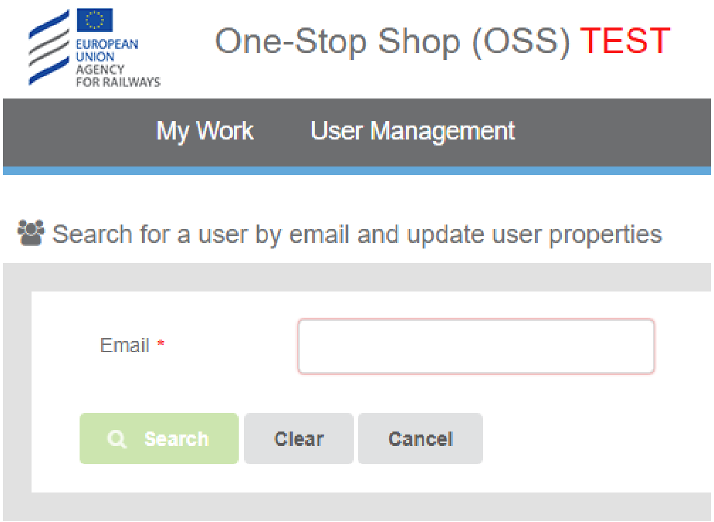



Figure 2: Create New User - search by email

Finally, the UM updates the user's properties by assigning one or more business domains (1), system-wide roles (2) and by registering the user to a Pool of Experts[1] (see Figure 3) as appropriate. **The user must be allocated to at least one business domain.** Allocation to system-wide roles and the Pool of Experts of one or more Authorities (i.e. ERA and/or National Safety Authorities) is optional.

[1] By Pool of Experts (PoE) we mean the country of the Authority or Authorities, outside the country of the Authority that the user belongs to, for which the user can act as an assessment team member on its or their behalf.

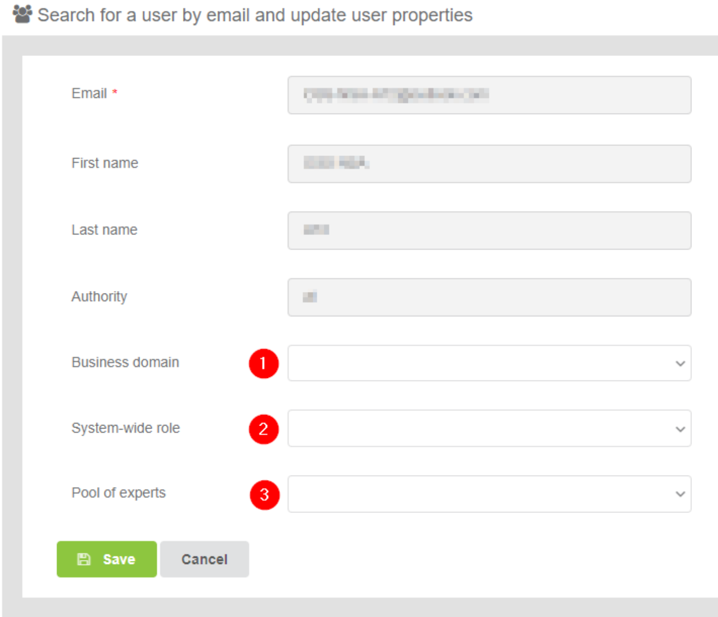



Figure 3: User properties

## 2.2. Sign in

**Only registered users in SRMO are able to sign into the system** (see section 2.1).

In the [OSS landing page](), click on the "Sign in" button (see Figure 4). The user may select an alternative language for the User Interface (UI) than the English (default), by choosing one of the available languages from the 'Language' drop down list.

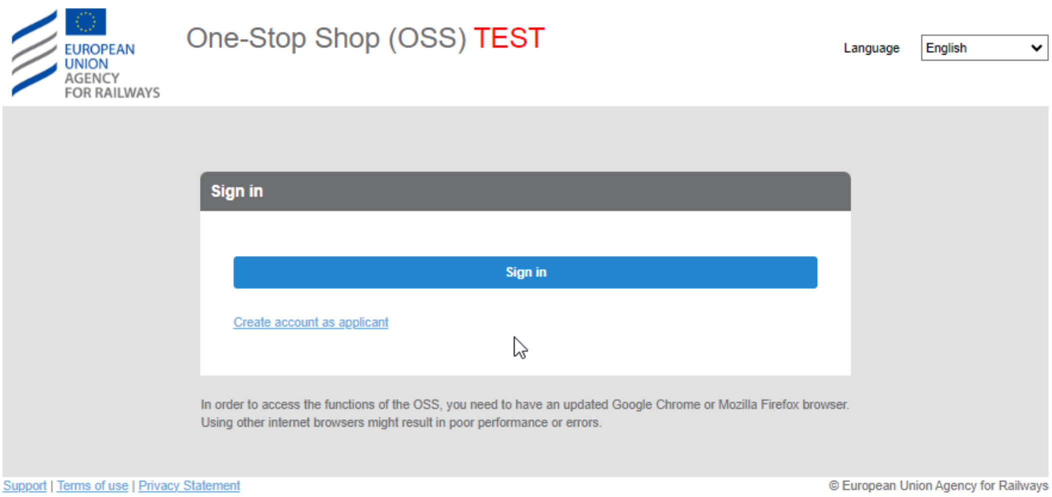



Figure 4: Sign in - OSS

For the sign in you will be redirected to the login screen as depicted in Figure 5 in order for the user to provide username and password. Please note that MFA is also enabled and if you have already logged in in any other ERA system you will automatically resume access to the OSS. The requested set of username and password is as set by your organisation.

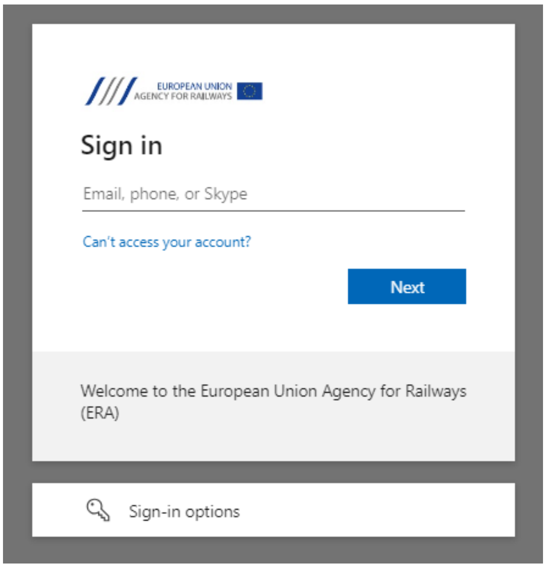



Figure 5: Sign in - SRM Online

In the case where the registration process is not complete (see section 2.1), an error message is prompted (see Figure 6). If not already done, the user is invited to check its mailbox (including the junk email folder) and click on the link provided in the ERA notification email to confirm the activation of its user profile. In case of problem, contact the IT Helpdesk (see section 1.3).

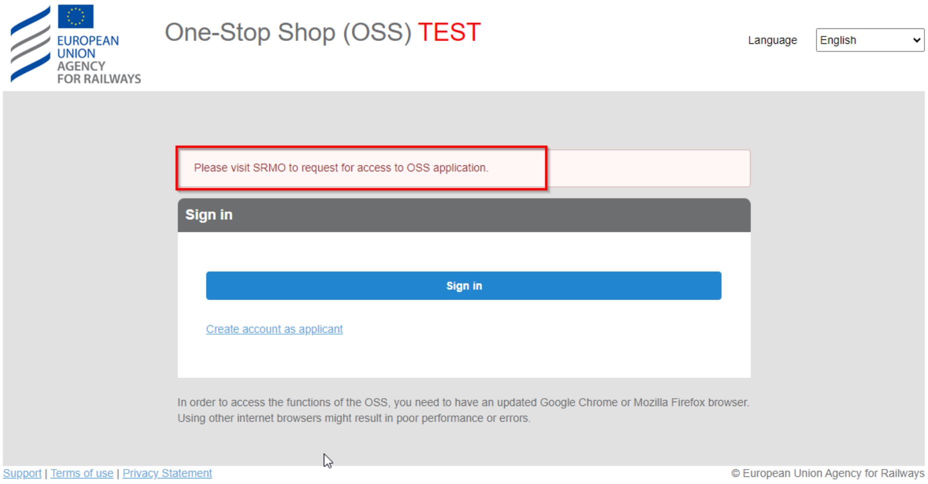



Figure 6: Sign in error

### 2.3. Forgot password

Since the enabling of MFA in OSS, your password has to be updated by your relevant organisation method. The password is not an OSS password but the one you use to access your organisation applications like email etc.

### 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 7.

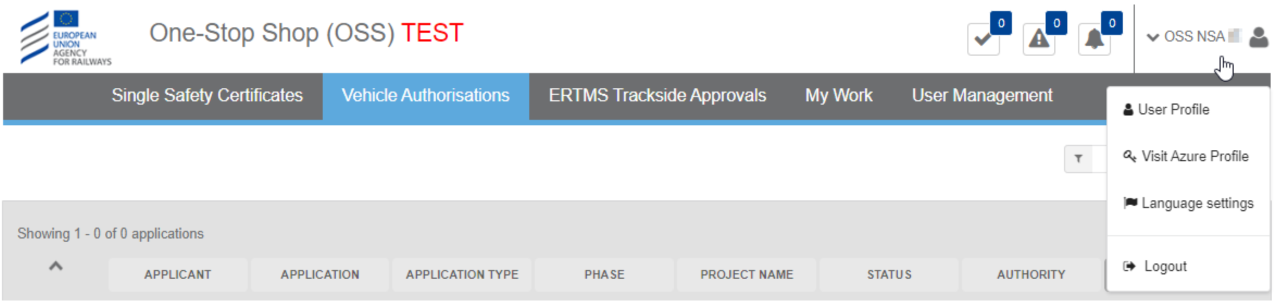



Figure 7: Menus and user actions

The options available under this menu allow for:

- Viewing and updating OSS user profile information.
- Viewing and updating Azure Profile information.
- Selecting the language of the user interface.
- Logging out from the system.

#### *2.4.1. View and update OSS user profile information*

The user can access its OSS user profile information, including contact details recorded in SRMO during the user registration process (grey shaded fields), and can modify the order of the business domain tabs of the main ribbon menu, the language(s) spoken and its preferences for the OSS notifications, as shown in Figure 8.

Notifications are by default available in OSS (see section 3.2.3) and may also be sent by email. Nonetheless, the user can select the category or categories of notifications it requests to be informed about, or it can select specific notifications under each category. Default notifications are grey shaded and cannot be unselected.

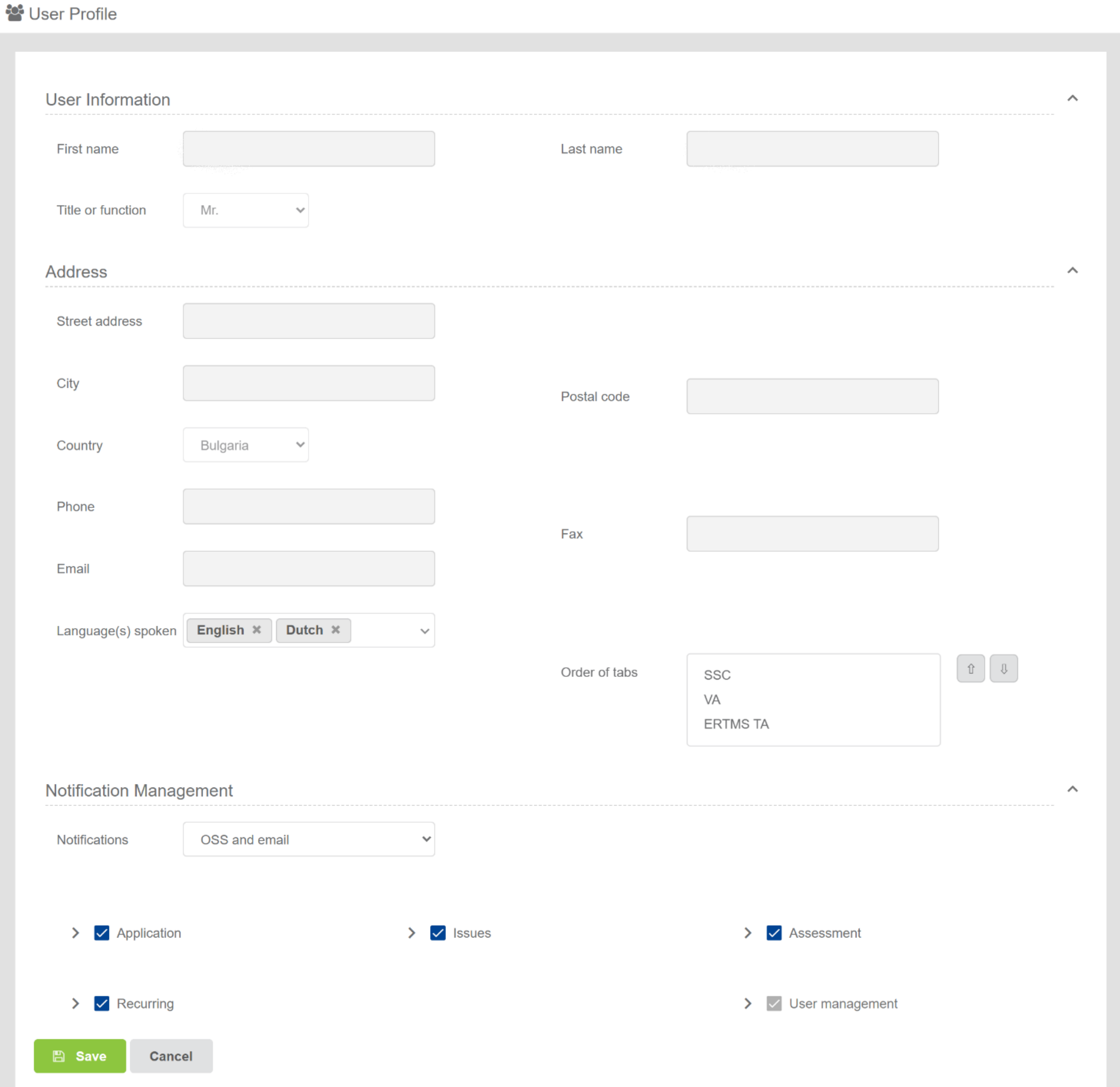



Figure 8: Update Profile

The grey shaded fields are read only and can only be edited through the SRMO portal (see section 2.1).

**It is recommended that the user, after its first sign in, checks and updates their user profile to ensure the correctness of displayed information and to set their preferences for receiving notifications.**

In addition, changing the order of business domain tabs does not only define the order of business domains (if more than one are assigned to the user) that are displayed in the main ribbon menu but it also sets the default domain (i.e. the one that is at the top of the list) that first appears when signing in the OSS.

### *2.4.2. Notifications Management*

In User Profile, users can configure their notification preferences according to their needs. Initially, users select whether they wish to receive notifications only within the OSS platform or both in OSS and by email.

If no change is made, the default option is to receive notifications in both OSS and email. Users can then choose which types of notifications they want to receive from the available categories, as shown in Figure 9:

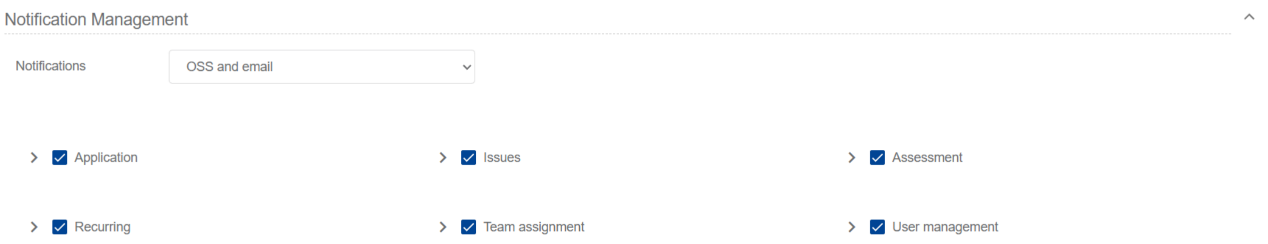



Figure 9: Notification Management

Using the corresponding checkboxes, users can select or deselect individual notifications. Notifications displayed with a greyed-out, pre-selected checkbox represent mandatory notifications and cannot be modified by the user, as shown in Figure 10 .

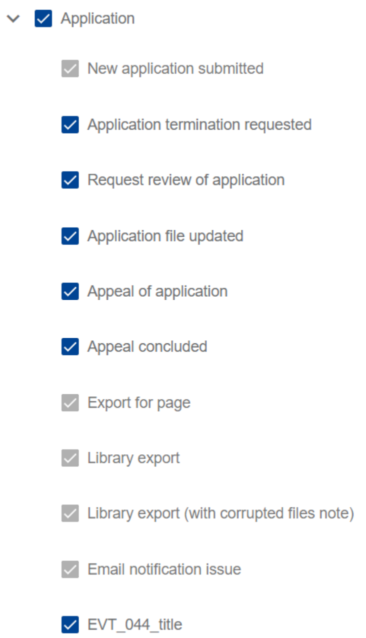



Figure 10: Notification Management

### *2.4.3. Visit Azure Profile*

The user is redirected to the control panel of its Azure profile (see Figure 11) which gives access to specific account settings (e.g. authentication method) shared among several applications of its organisation running under Azure or MS 365. **Note that this option is available to the users which organisation is integrated with Azure or MS 365.**

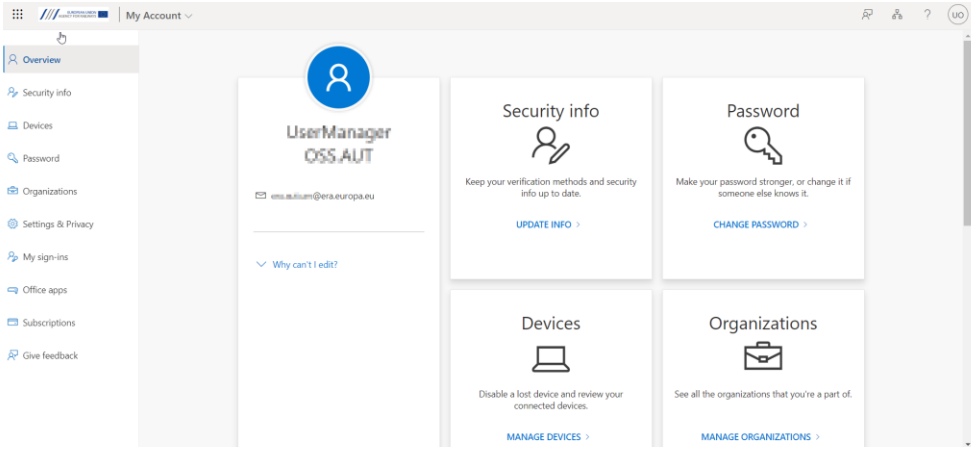



Figure 11: Azure Profile

### 2.4.4. *Language selection*

Figure 12 shows how to select the preferred user interface language.

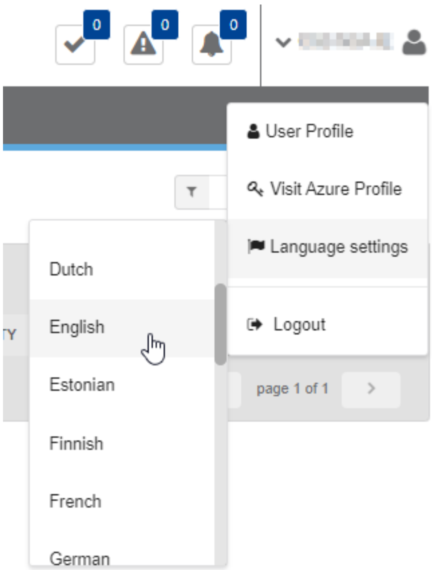



Figure 12: Language selection

# 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 business domains (i.e. SSC, VA and TA) available from its user profile, as shown in Figure 13.

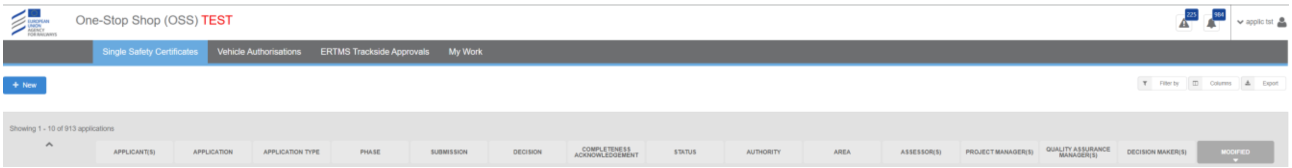



Figure 13: List of applications

There are features for paging (go to next or previous page, display x items per list), as shown in Figure 14 and selection of columns to display and filtering, sorting and exporting, as shown in Figure 15. The system remembers the selections made by the user for all subsequent views of the list of applications until the user amends them again.

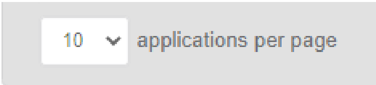



Figure 14: Paging

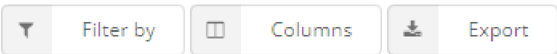



Figure 15: Filtering, exporting and column selection

### *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).
- **Subcategory:** Vehicle subcategory as defined in Annex III of the ERATV Decision (VA)
- **Type/Variant/Version ID** : The identification for the type composed of the type number, the variant and the version as applicable. (VA)
- **Phase (Type for TA)**: The phase, either application (VA/SSC) or pre-engagement (VA, SSC). The type, either application or initial engagement for TA.
- **Project name**: The application's project name (VA, TA).
- **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).
- **Completeness acknowledgement:** Column showing the planned date once an application is in status submitted (VA, SSC).
- **Status**: The status of the application (VA, SSC, TA).
- **Authority**: The issuing authority responsible to take the decision (VA, SSC).
- **Area**: The area of use/operation (VA, SSC).
- **Vehicle identification:** Column showing the Vehicle Identification as included in Authorisation Details (VA).

- **EIN Number:** Column showing the EIN Number issued during Decision (VA).
- **Assessor(s):** Column showing the assigned Assessor(s) for the specific application (VA, SSC, TA).
- **Project manager(s):** Column showing the assigned Project manager(s) for the specific application (VA, SSC, TA).
- **Quality assurance manager(s):** Column showing the assigned Quality assurance manager(s) for the specific application (VA, SSC, TA).
- **Decision Maker(s):** Column showing the assigned Decision Maker(s) for the specific application (VA, SSC, TA).
- **Modified**: The date of the last update of the application (VA, SSC, TA).

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

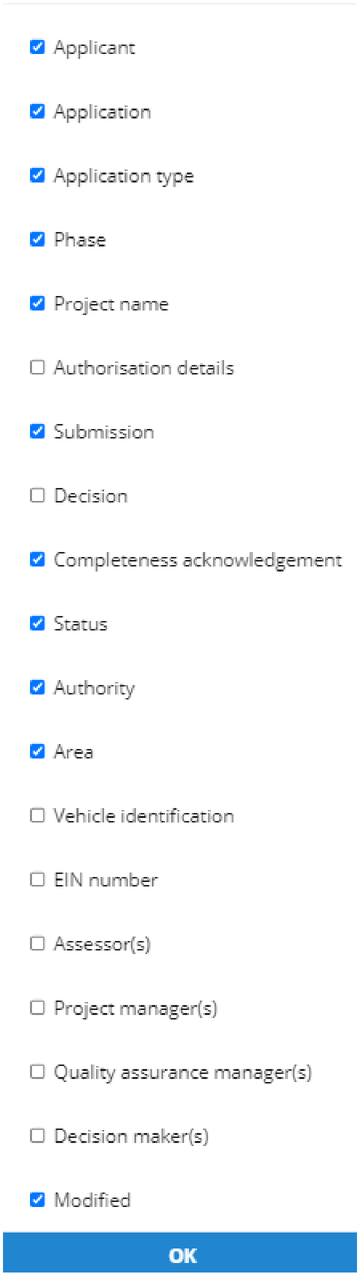



Figure 16: VA Application List columns

Available columns for selection in SSC are shown in Figure 17 and as described in section Column selection.

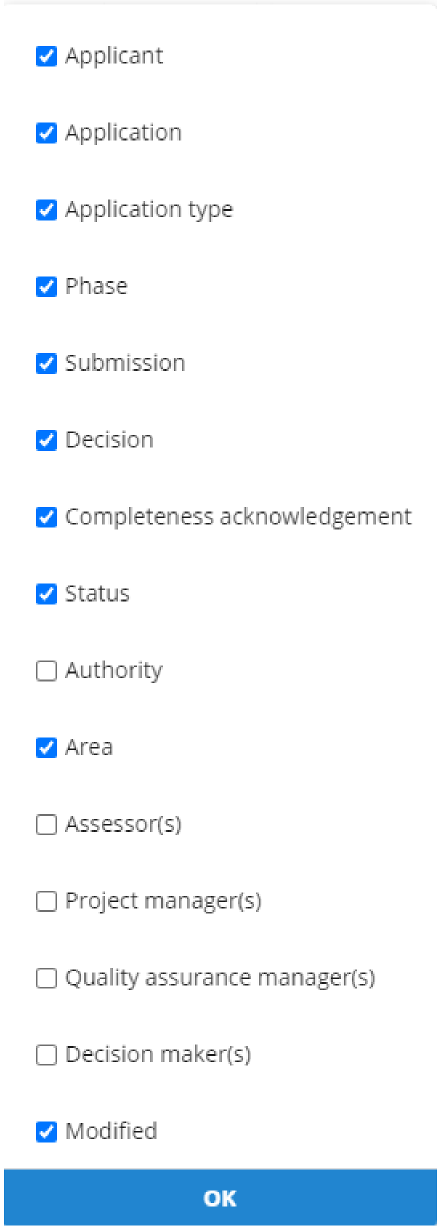



Figure 17: SSC Application List columns

Available columns for selection in TA are shown in Figure 18.

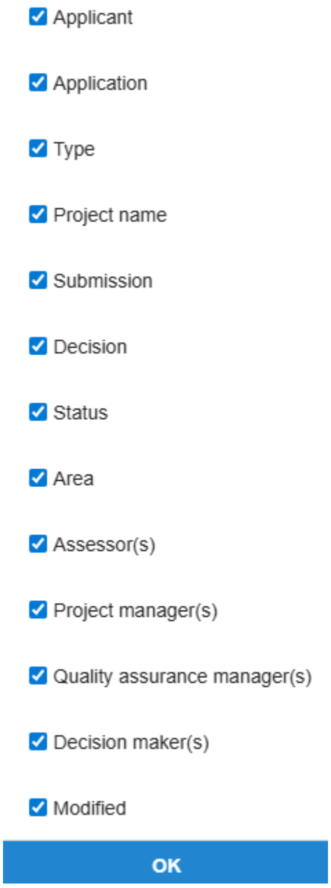



Figure 18: TA Application List Columns

### *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):

- **Applicant**: The applicant's legal denomination (VA, SSC, TA).
- **Application** : Application ID (VA, SSC, TA).
- **Application type**: Authorisation case or single safety certification type (VA, SSC).
- **Subcategory**: Vehicle subcategory as defined in Annex III of the ERATV Decision (VA)
- **Type/Variant/Version ID**: The identification for the type composed of the type number, the variant and the version as applicable (VA)
- **Phase (Type for TA)** : Application (VA/SSC) or Pre-engagement (VA, SSC). For TA Application or Initial engagement.
- **Project name**: The application's project name (TA).
- **Status**: Status of an application (VA, SSC, TA).
- **Authority**: The issuing authority responsible to take the decision (VA, SSC).
- **Area**: Area of use/operation (VA, SSC, TA).
- **Assessor(s):** The assigned Assessor(s) for specific application(s) (VA, SSC, TA).
- **Project manager(s):** The assigned Project manager(s) for specific application(s) (VA, SSC, TA).
- **Quality assurance manager(s):** The assigned Quality assurance manager(s) for specific application(s) (VA, SSC, TA).
- **Decision maker(s):** The assigned Decision maker(s) for specific application(s) (VA, SSC, TA).

- **Submission Date, Decision Date, Completeness Acknowledgement Date and Modified Date**: Date of submission/decision/modification of an application (VA, SSC, TA).

Filtering options available in Vehicle Authorisations are shown in Figure 19.

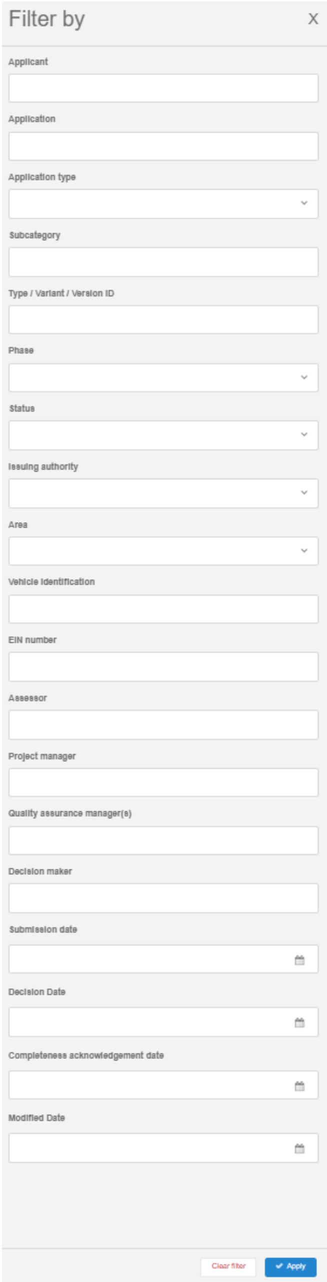



Figure 19 Vehicle Authorisations Filtering options

Filtering options available in Single Safety Certificates are shown in Figure 20.

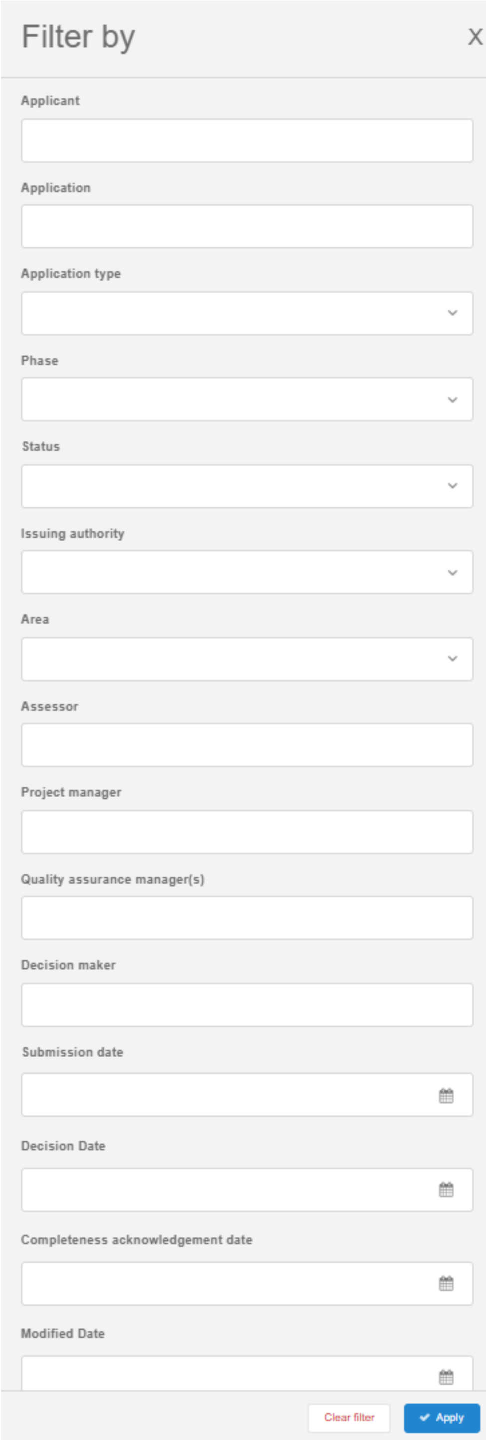



Figure 20 Single Safety Certificates Filtering options

Filtering options available in TA are shown in Figure 21.

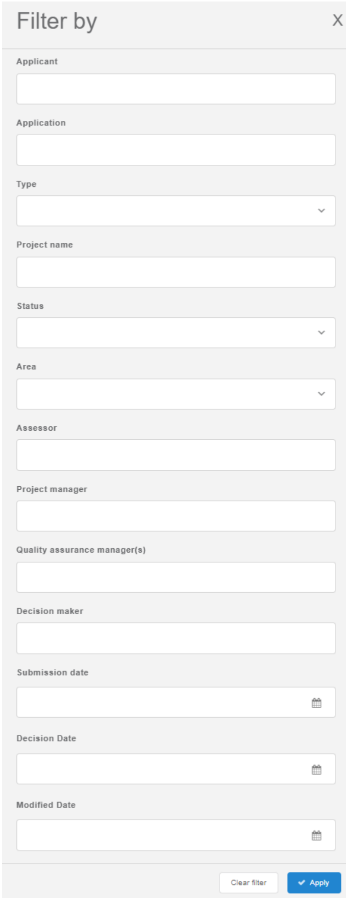


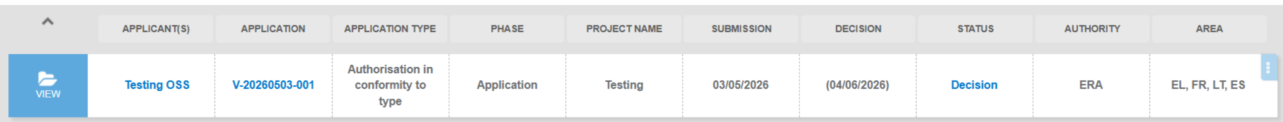

Figure 21 TA Filtering options

### 3.1.3. *Application list item*

For each item in the applications list page, apart from the columns displayed, as chosen by the user following the previous steps, shown in Figure 22, the system can provide more detailed information about the applicant and the progress status of the assessment.

The *Decision* column indicates the current outcome of the application and is displayed as follows:

- Until the Decision is submitted, the *Decision estimation* is shown in brackets.
- Upon Decision submission (status **Completed**), the *actual Decision date* is displayed.
- Upon application closure (status **Closed**), the *actual Decision date* is displayed.
- If the application is terminated by the applicant (status **Completed**), the value is shown as **"-"**.
- If the application is closed by the assessment team before Decision submission (status **Closed**), the *Decision estimation* remains shown in brackets (e.g. "(01/01/2024)")



| | APPLICANT(S) | APPLICATION | APPLICATION TYPE | PHASE | PROJECT NAME | SUBMISSION | DECISION | STATUS | AUTHORITY | AREA |
|---|---|---|---|---|---|---|---|---|---|---|
| VIEW | Testing OSS | V-20260503-001 | Authorisation in conformity to type | Application | Testing | 03/05/2026 | (04/06/2026) | Decision | ERA | EL, FR, LT, ES |

Figure 22: Applications list item

By clicking on the “Applicant” or the “Application” column, the applicant’s details are displayed, as shown in Figure 23.

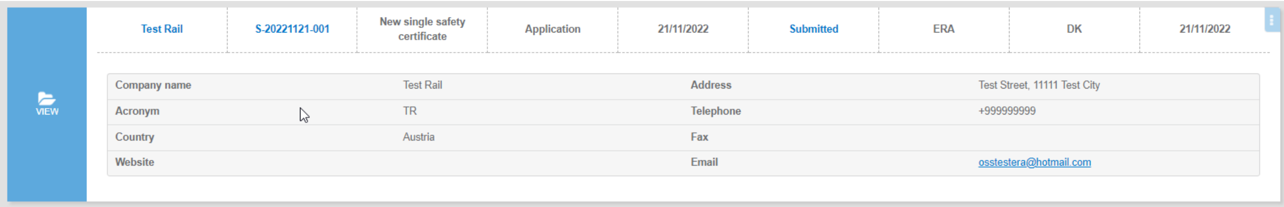



Figure 23: Applicant’s details

The “status” column displays the current stage of the application. By clicking on that column, summary information on the different milestones (as provided for in the dashboard) is displayed, as shown in Figure 24.

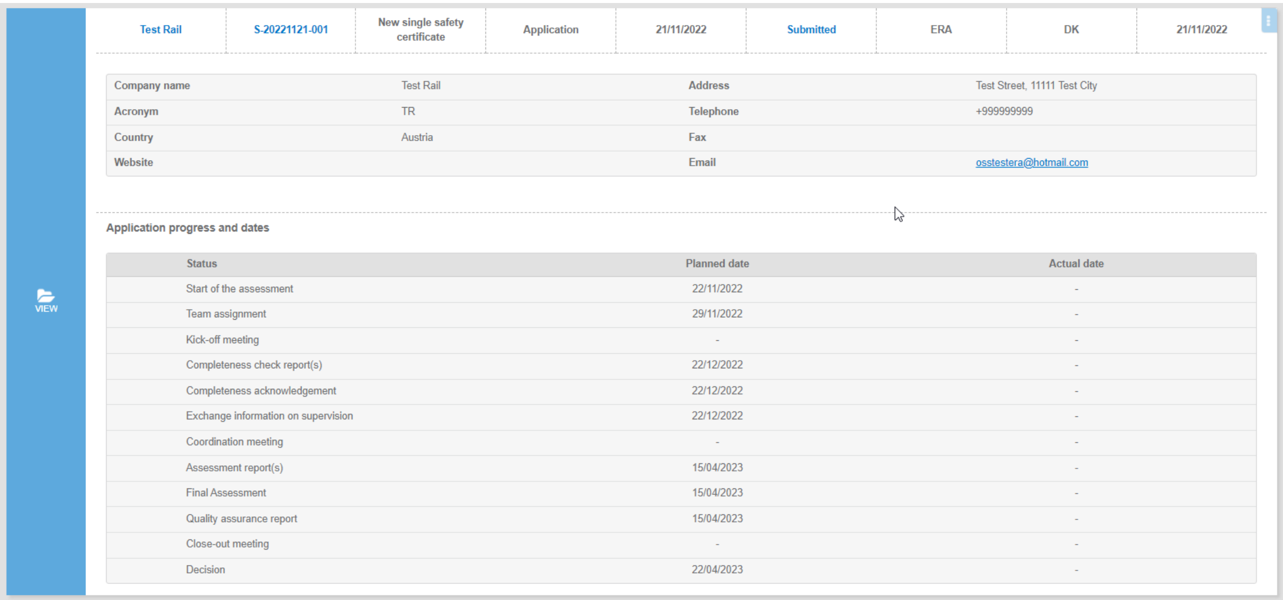



Figure 24: Status

### *3.1.4. Exporting selection*

With the button “Export” as shown in Figure 15, the user may select the option “Current view” or “Full dataset” as shown in Figure 25 Export selection and press “Yes” in order to export a specific view. Then, the user will receive a notification with the download link in order to download the specific view in xlsx format. The “Export” option is available in all the domains (i.e. VA, SSC, TA).

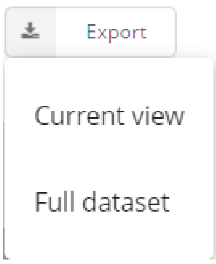


Figure 25 Export selection

## 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 26.

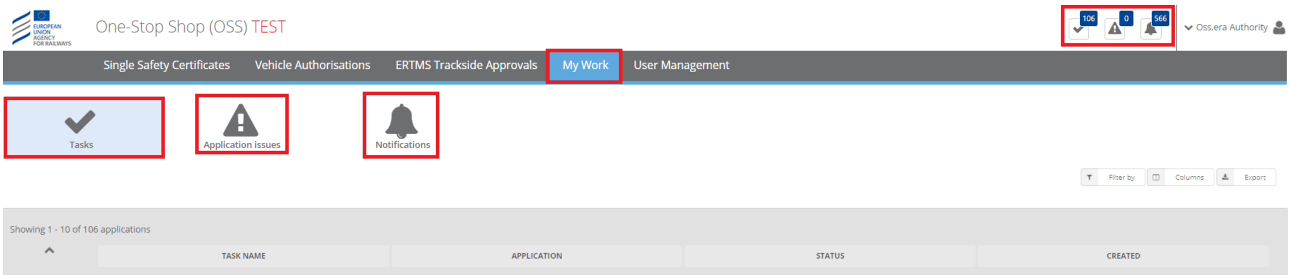



Figure 26: My Work screen

### 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 26, a similar page to the one in Figure 27 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).

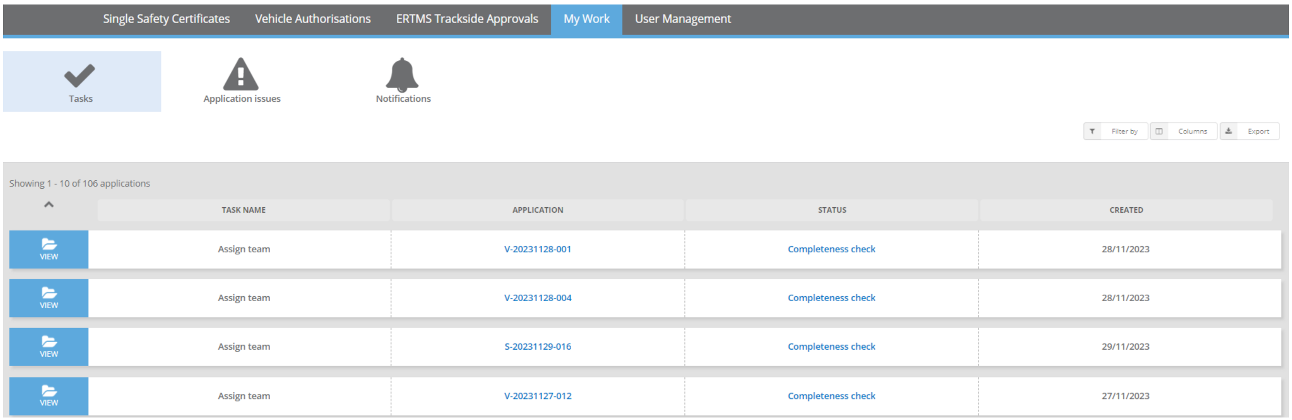



Figure 27: Tasks list

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 28, will be reduced by one.


Figure 28: 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 26, a similar page to the one in Figure 29 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).

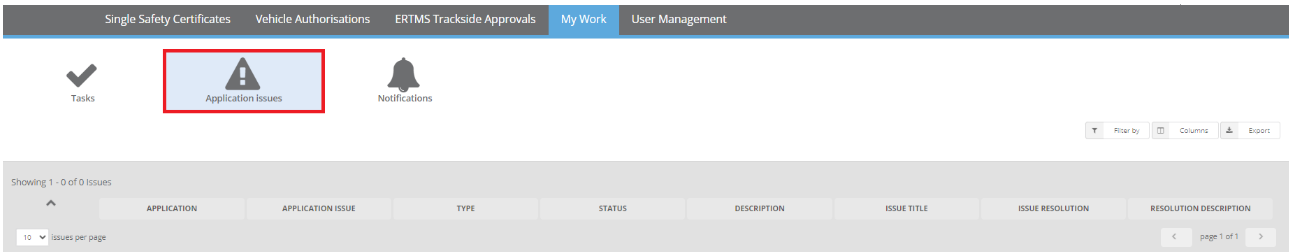



Figure 29: Application issues list

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 30, will be reduced respectively.


Figure 30: 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 26, a similar page to the one in Figure 31 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).

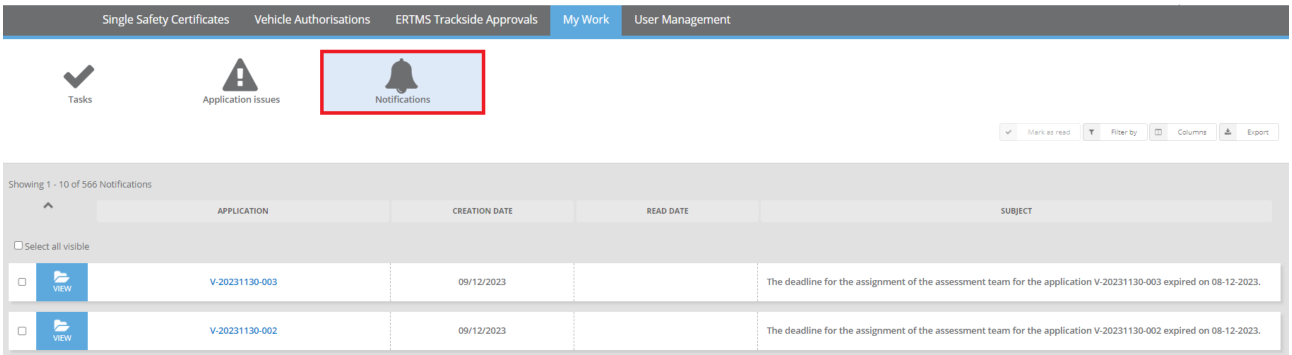


Figure 31: Notifications list

By selecting “View” for one of the notifications, the system displays a new page with the notification details, similar to the one in Figure 32. If the user selects “Mark as read” the notification is greyed out. The unread notifications count number, as in Figure 33, is updated when a notification is marked as read. Finally, the user can close the pop-up window by selecting “Close”.

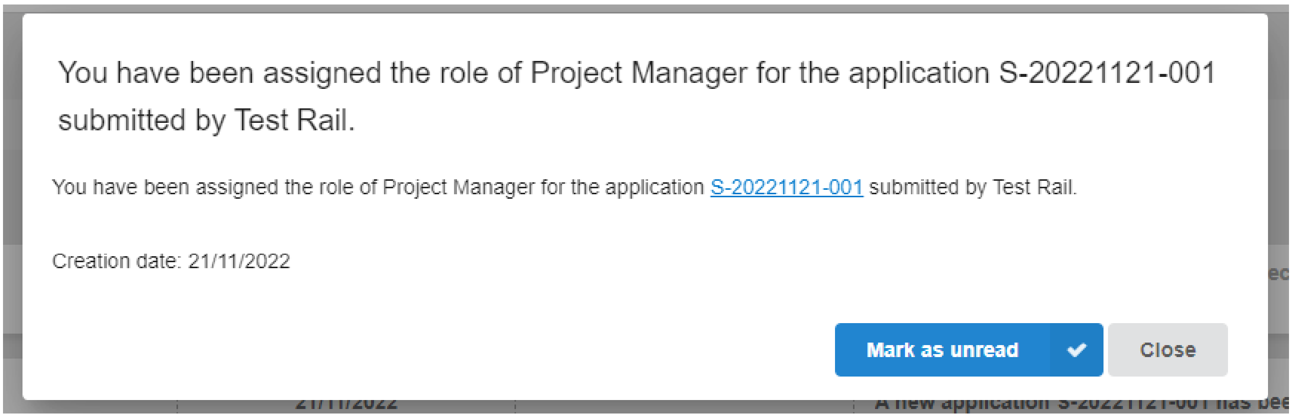



Figure 32: Details of a notification


Figure 33: 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 34.

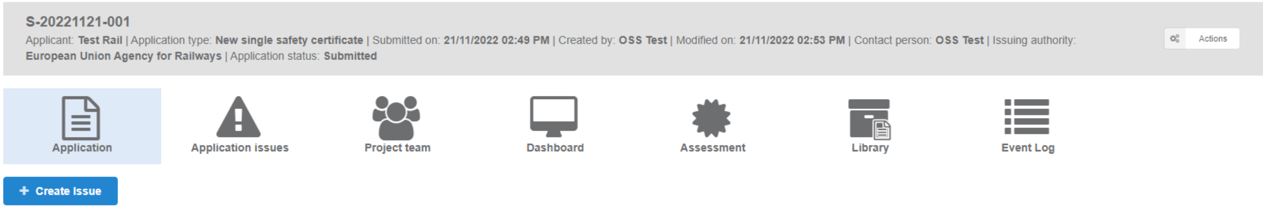



Figure 34: General application information and navigation icons

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 35.

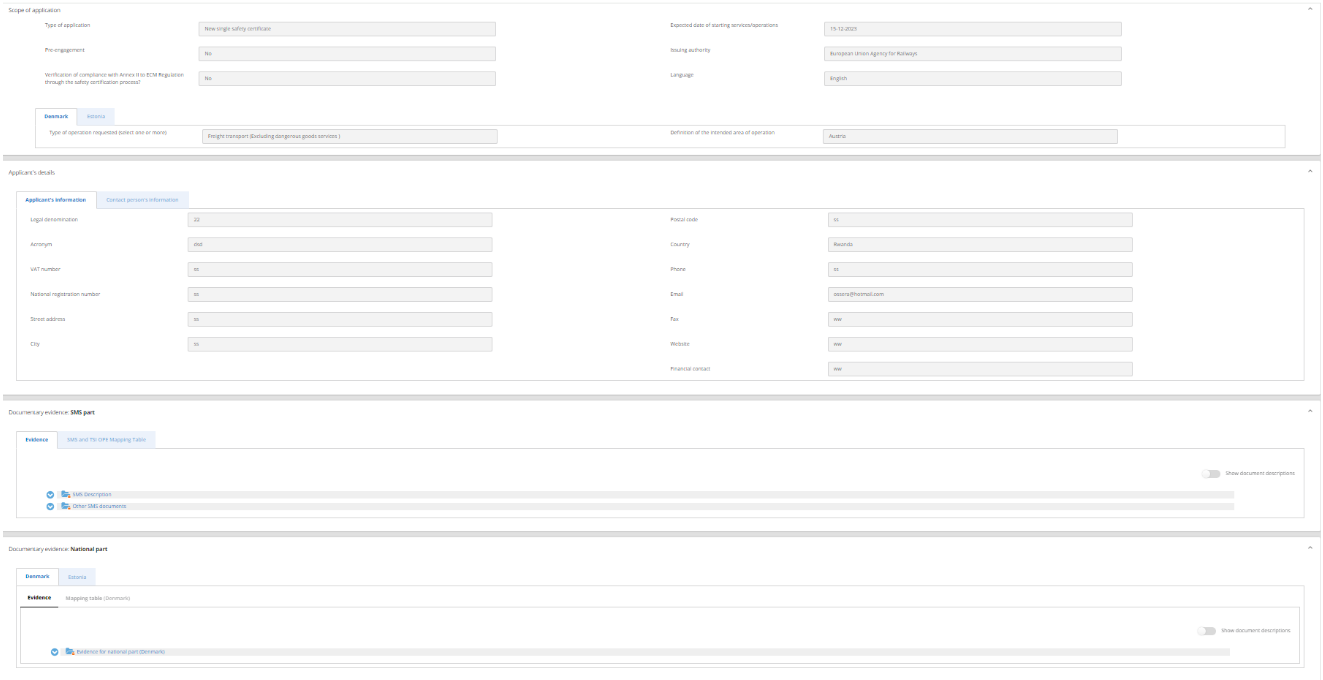


Figure 35: Details of an application

### 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. *Assessment team*

In this page, the user can view the assessment team members of an application, including the related Programme Managers of ERA and the Member States involved as shown in Figure 36. The user can also copy the email address of the assessment team members of an application as shown in Figure 37. The specific application roles are Project Manager, Assessor, Assuror, Decision Maker, Financial Officer(s), Observer and Applicant. For details on how a PgM assigns the team, see section 4.2.1

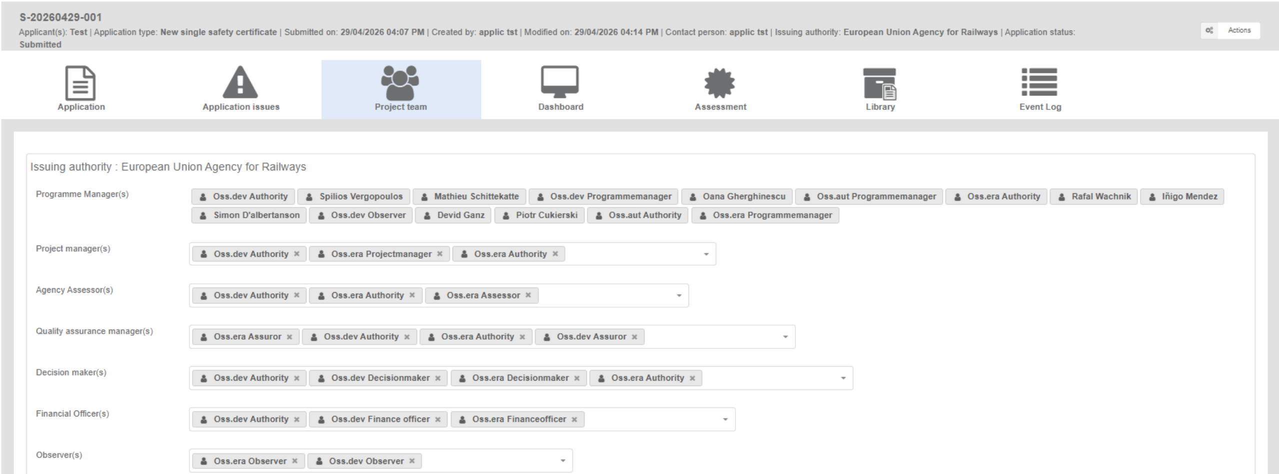



Figure 36: Assessment team

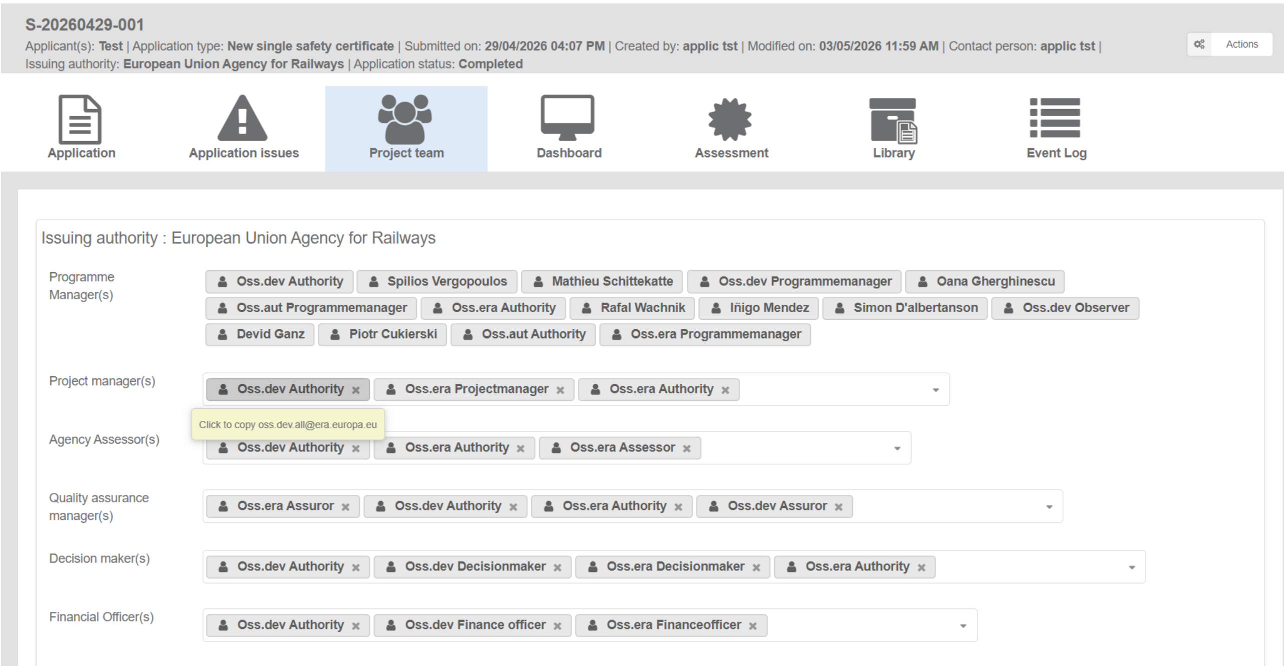



Figure 37: Copy the email of the Assessment team

### *3.3.4. Dashboard*

The project dashboard provides an overview of each application through two dedicated tabs: Project Plan and Statistics.

The Project Plan is the section where the important dates (milestones) of each application, as well as the application status are displayed. Each milestone includes a planned date and an actual date, as shown in Figure 38.

Planned dates are automatically calculated based on predefined timeframes but can be manually edited by the Project Manager. Actual dates are automatically filed in following the actions taken by the users (e.g. submitting a report). Milestones can be sorted in chronological order by planned date or actual date (see also Figure 38). The sorting is reset each time the user leaves the Dashboard page.

The application status is calculated automatically based on the current assessment stage (e.g. completeness check) or specific actions taken by the Project Manager (e.g. closing the application).

For more details on the actions which the Project Manager can perform in the dashboard, see sections 4.3.11 and 4.3.12.

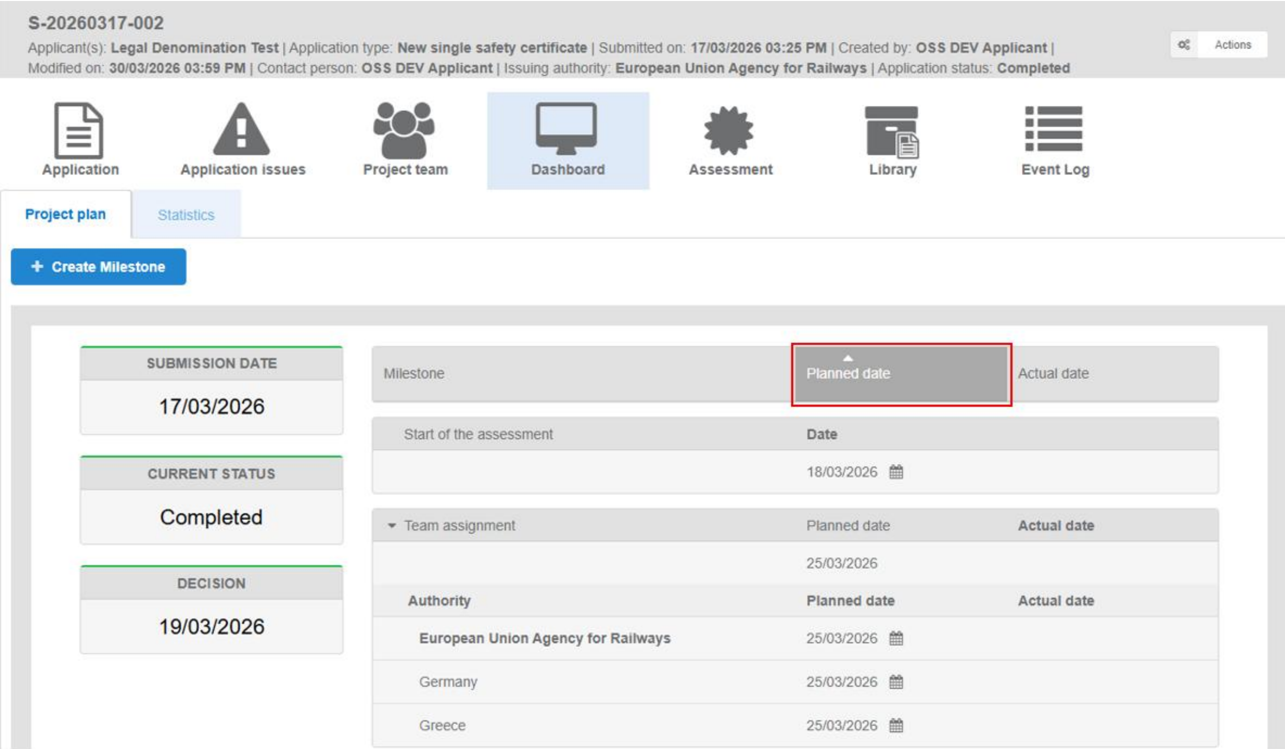



Figure 38: Dashboard

The Statistics tab offers a visual summary of issues associated with the application. It includes three pie charts that are enabled by default:

- Issue Type
- Issue Status
- Issue Resolution

Users can select or unselect these charts through the available checkboxes, as shown in Figure 39.

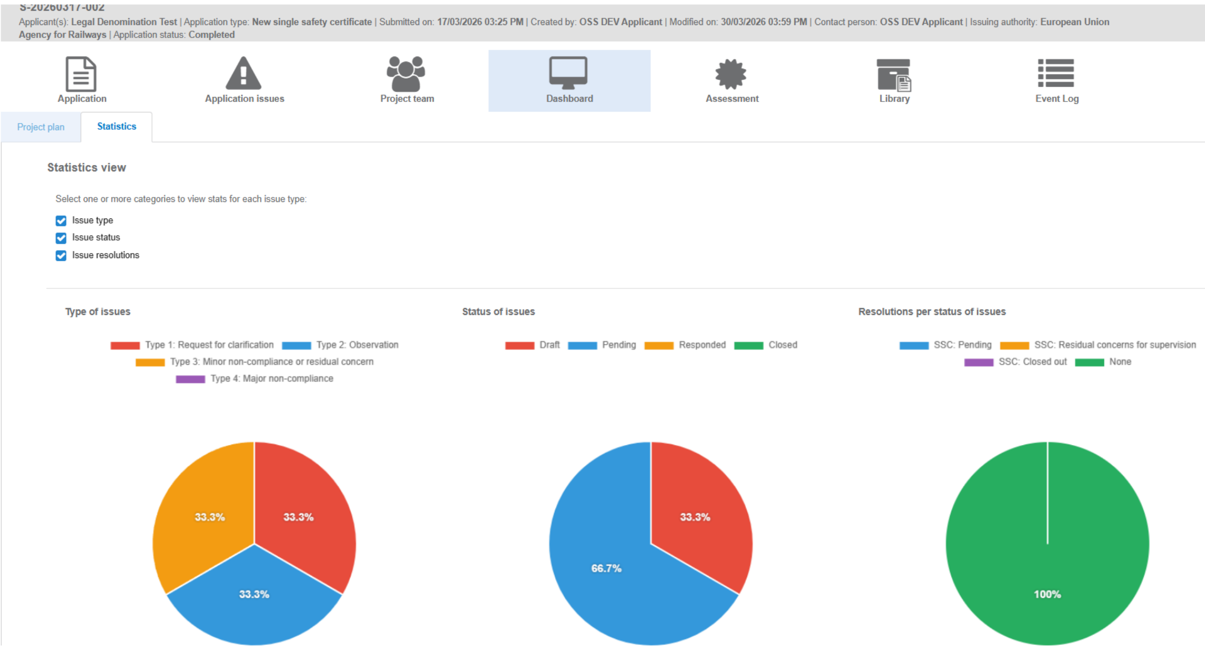



Figure 39: Statistics

### 3.3.5. *Assessment*

The Assessment tab shows all the reports submitted or uploaded by the Authorities concerned (i.e. ERA and/or the National Safety Authorities assigned to the application) throughout the assessment of an application.

The content of assessment reports is specific to each business domain (i.e. VA, SSC and TA) and to the assessment stage. Their names may also differ (see Table 2).

| SSC application | VA application | VA pre-engagement | TA application |
|---|---|---|---|
| Completeness check | Completeness check | Completeness check | Preliminary verification of completeness |
| Detailed assessment | Detailed assessment | Detailed assessment | Detailed verification of completeness |
| Recommendation | Recommendation | Recommendation | Recommendation |
| Quality assurance | Quality assurance | Quality assurance | Quality assurance |
| Decision | Decision | Opinion | Decision |

Table 2: Assessment reports

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

Figure 40 shows the main navigation to the assessment reports for a VA application as example.

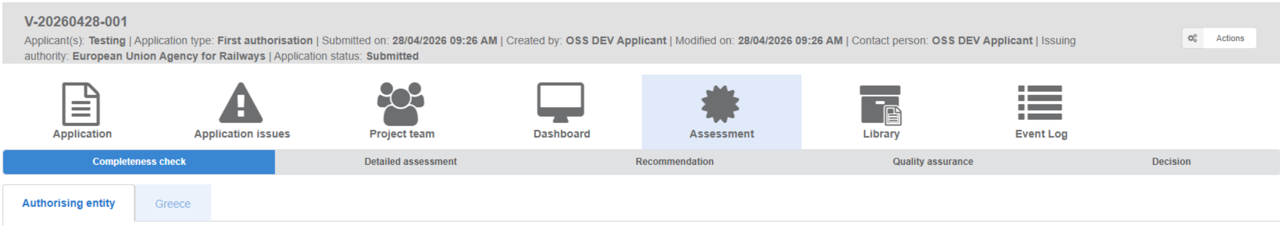



Figure 40: Assessment reports for VA application

### 3.3.6. *Library*

The application 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.

Each application library is composed of four parent folders as shown in Figure 41:

- Application file: Includes all the information registered and documents uploaded by the Applicant from the application wizard; Its content is read only after submission of the application unless it is unlocked by means of an issue by the relevant Authority.
- Assessment file: Includes all the information and documents pertaining to the assessment and managed by the Authorities concerned with the application.
- Templates: Includes read-only templates provided by ERA and that may be used by Authorities.
- Other documents: Includes any other documents uploaded by the Authorities concerned and by the Applicant that which do not fall under any other category.

The library allows the user to:

- 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).

- The application library displays the current Application File size against the maximum permitted size of 20GB.

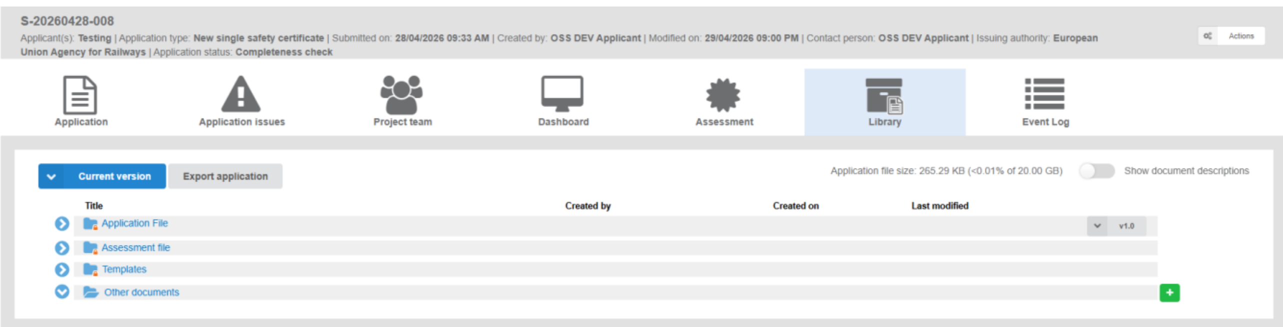



Figure 41: Library

The relevant user can upload files by clicking on the + button in the relevant folder as shown in Figure 41 . After the upload, the user can see the details of the file, as shown in Figure 42, by clicking on the "Show documents description" radio button or can download a file by using the "Download document" button as shown in Figure 43.

The maximum size of the application file cannot exceed 20 Gb, as also shown in Figure 42. Such a limitation does not exist for the "Assessment file" and for the "Other documents" parent folders.

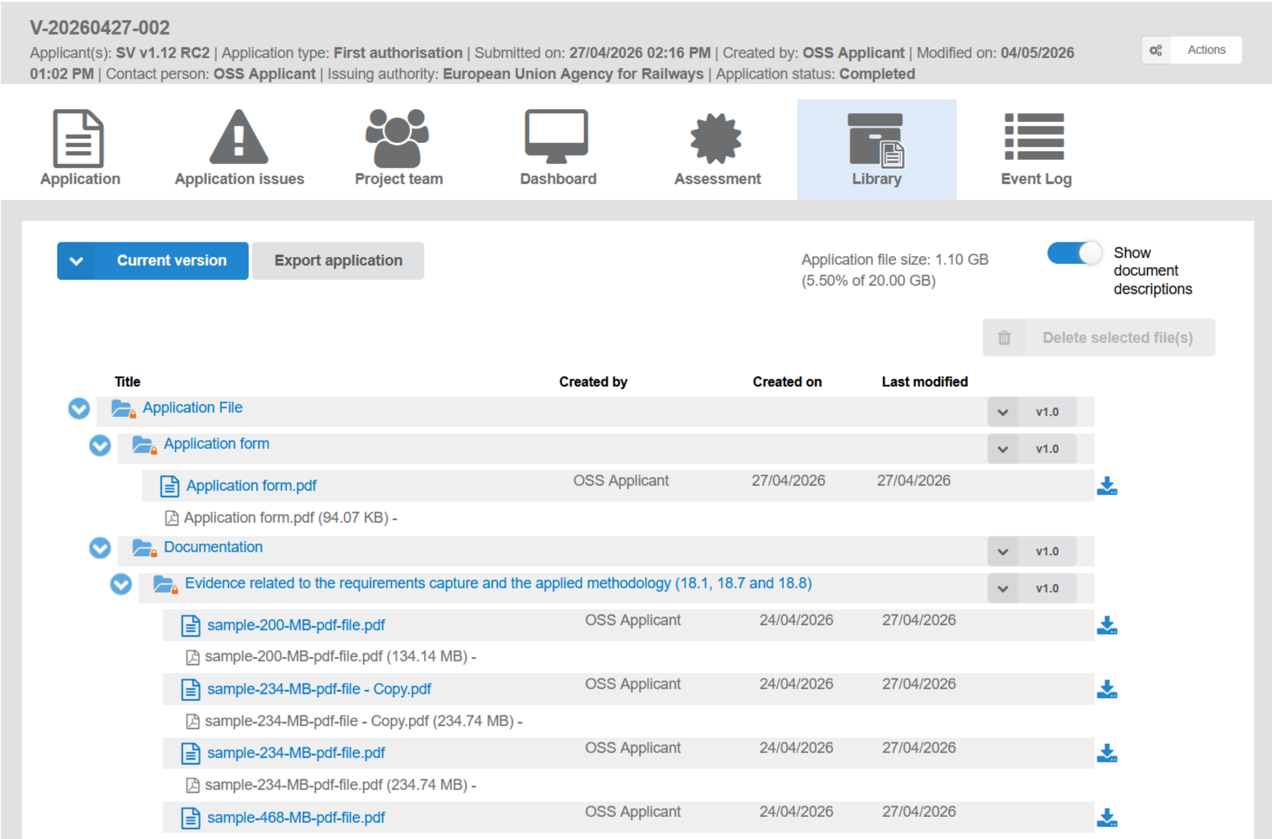



Figure 42: Show document descriptions radio button

Figure 43: Download button

The user can select the version of the uploaded document, as shown in Figure 44.


Figure 44: Select version button

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

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

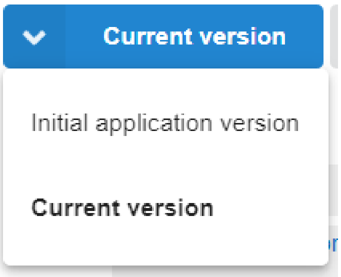



Figure 45: Current version button

If the user selects the “Export application” button as shown in Figure 46, the system downloads all uploaded files of the application in a zip folder.

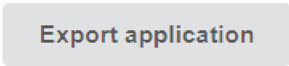



Figure 46: Export application button

#### 3.3.7. *Event log*

The event log is a detailed list of user actions during the lifecycle of an application. The event log exists only after application submission and is filtered according to the access rights of the user, as shown in Figure 47.

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 Assessment team.
- Update application file.

Each record in the log contains the following information:

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

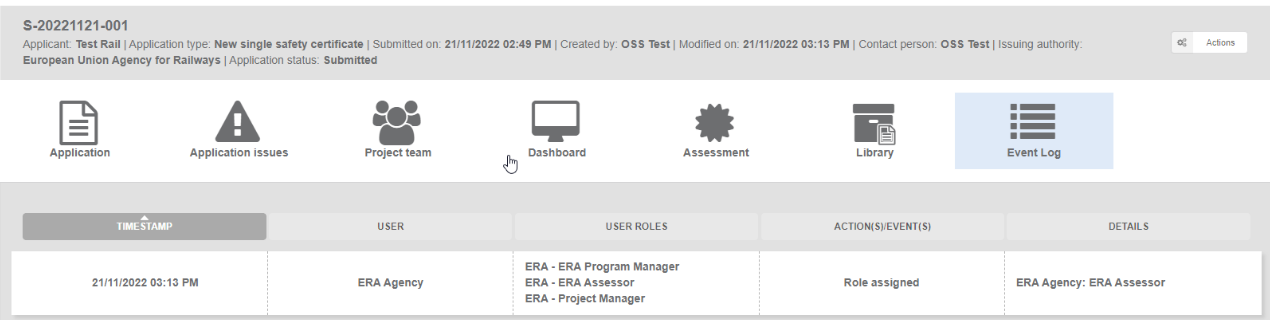



Figure 47: Main screen of event log

# 4. Assessment

The assessment team includes the Authority (i.e. ERA and/or the National Safety Authority) users that are responsible to carry out the assessment of the application, to check the correct application of the process throughout the assessment and to take the decision over the issue of VA, SSC or TA.

The assessment team members can have the following roles:

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

In addition, the following ancillary roles may be assigned:

- Observer (OB)
- Financial Officer (FO)

A user may take several roles. The allocation to a given role is always managed by the Programme Manager (PgM) of the Issuing Authority. In the case where ERA is the Issuing Authority, the Programme Manager of other Authorities (i.e. National Safety Authorities) concerned with the application also allocates their own users to the roles of Assessor and Observer as appropriate. The role of Financial Officer is reserved for the Issuing Authority only for administrative purposes in accordance with its internal procedures. Users assigned as FO have write access to the Financial docs and Other management docs folders under Management, as well as to the Other documents folder of the OSS library. The Observer (OB) role provides view-only access to the application and its related information, without the possibility to modify any data.

Although there is no technical limitation, the allocation depends on the Authority's organisational structure and also independence criteria (e.g. the Assuror is responsible to check the correct application of the process and so, is expected to be independent of the Project Manager and Assessors).

The User Manager (UM) of each Authority concerned may have also defined specific groups with users automatically allocated to specific roles in all applications (please refer to the OSS User Guide for User Managers). In such cases, it is always possible for the Programme Manager of the different Authorities to manually edit the allocation of their own users in each application (see section 4.2.1).

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

## 4.1. Fill-in the web form vs Upload your report

Before entering the individual tasks for each one of the roles, it is worth explaining the two available methods for preparing and submitting assessment reports (i.e. the outcome of the assessment). For each one of the reports, it is possible either to fill in a web form or to upload files. The screen will look similar to the one in Figure 48.

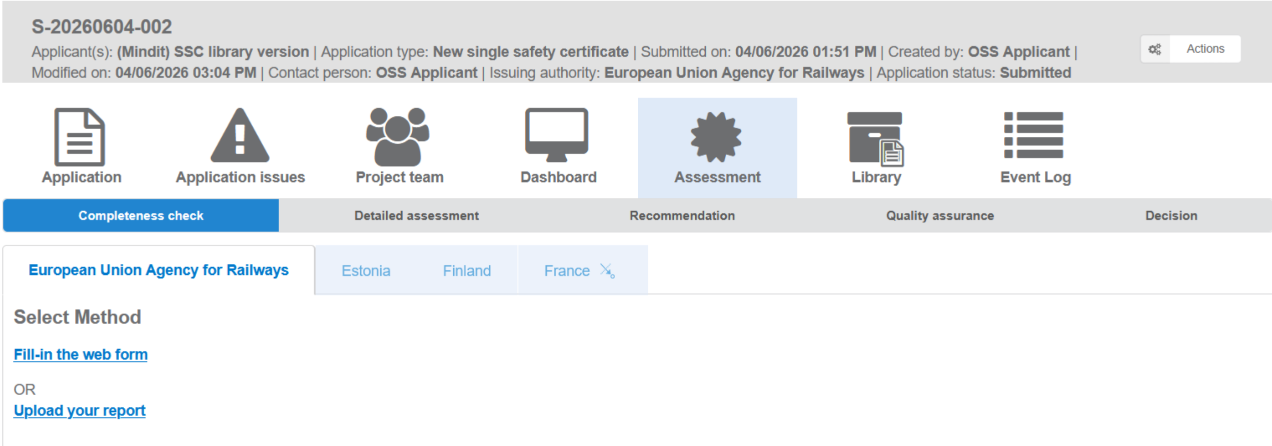



Figure 48: Select method

### 4.1.1. *Fill-in the web forms*

By selecting “Fill-in the web form”, a page similar to the one in Figure 49 is displayed.

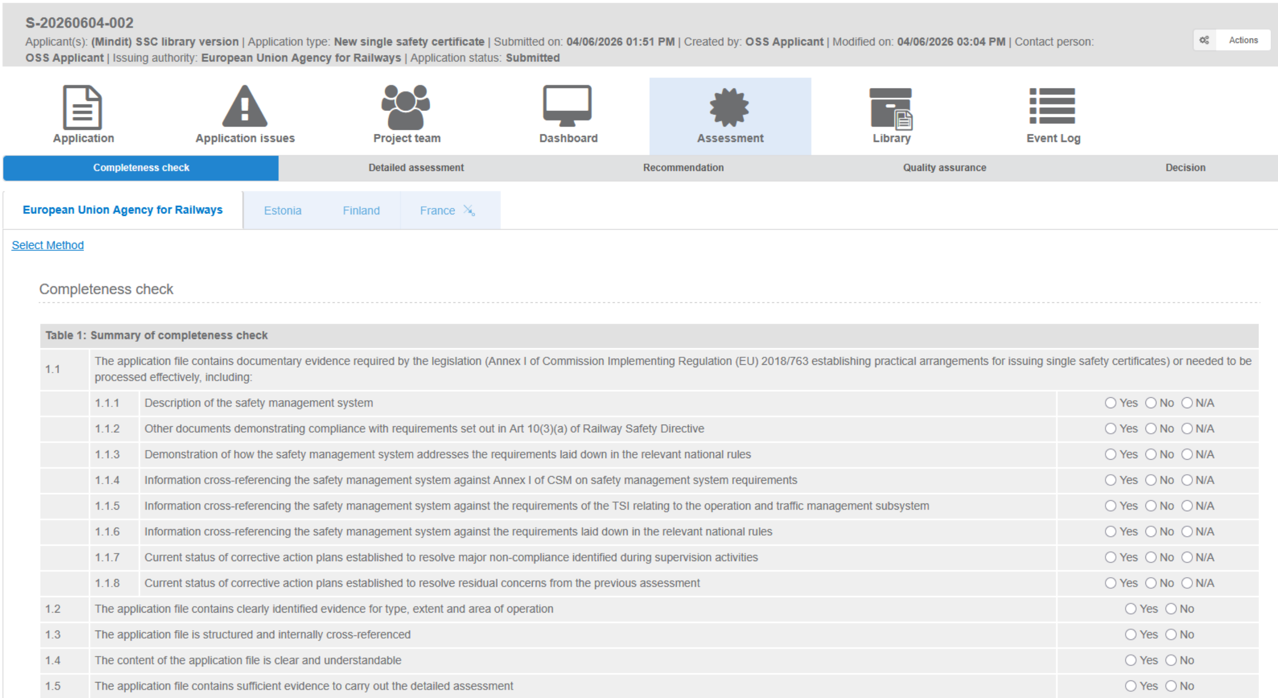



Figure 49: Example of a web form report

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 supporting documents (optional).

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 50.

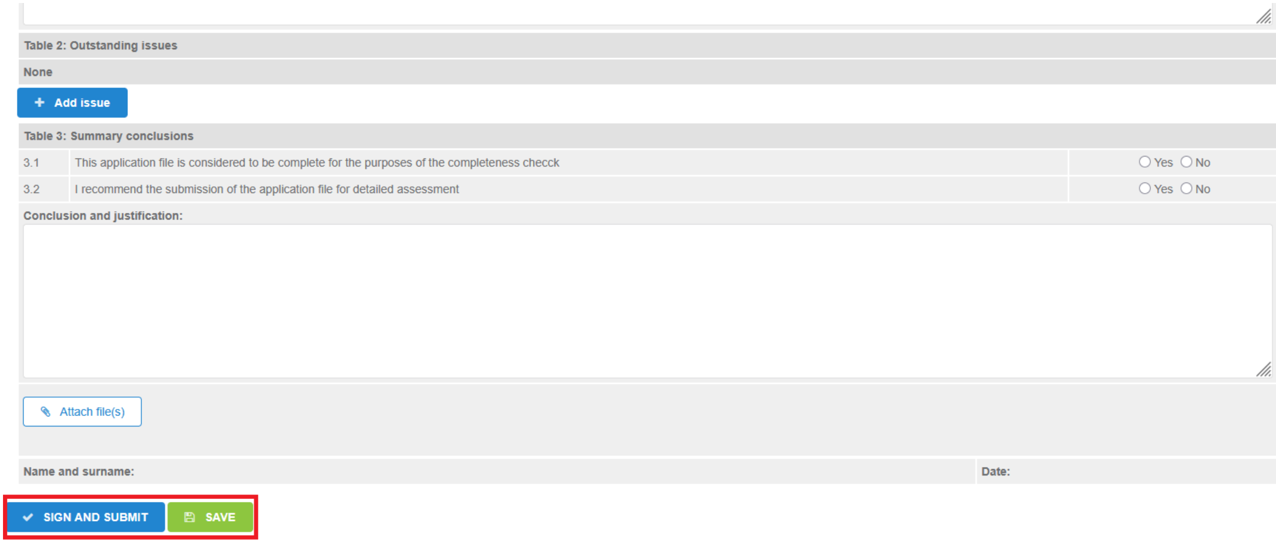



Figure 50: Sign/submit and save options for a web form report

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 50. Once this option is selected, a page similar to the one in Figure 51 is displayed.

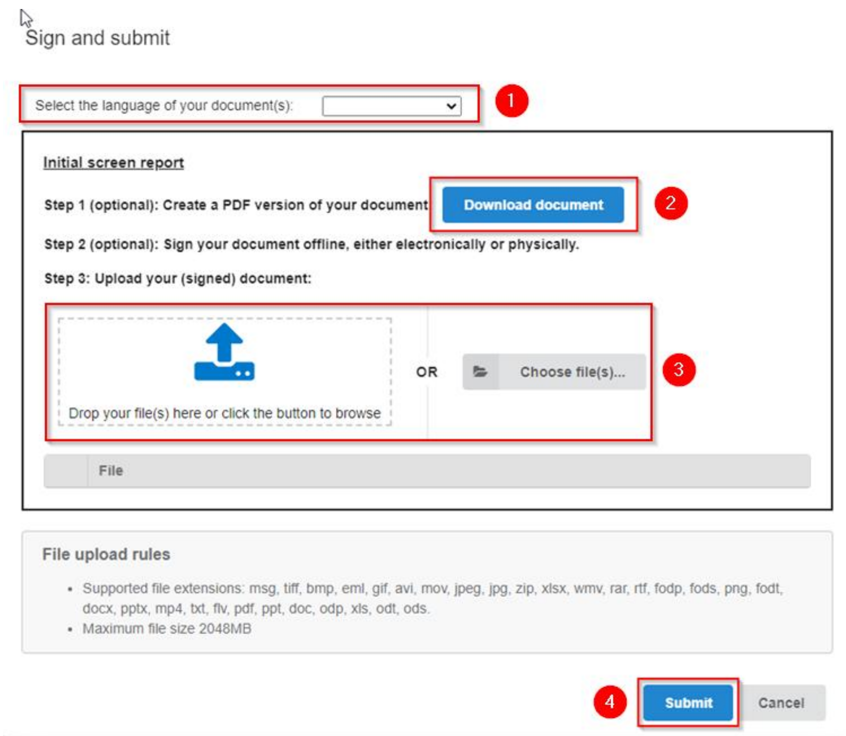



Figure 51: Download and submit a web form report

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 52.


Figure 52: Web form submission confirmation

### 4.1.2. *Upload your report*

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 48, and by selecting the "Import" option, a page similar to the one in Figure 53 is displayed.


Figure 53: Upload your report

To proceed, the user may:

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

The system allows to upload the signed copy of the report by clicking on the first "Attach file(s)" button. Then the button "Sign and Submit" becomes active. More details for attach file(s) can be found in section 8.1.

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 52.

## 4.2. Tasks for Program Managers (PgM)

The Programme Manager of each Authority concerned with the application is responsible to assign the assessment team, each for their own organisation.

Initially the Programme Manager receives a notification of the new application. At the same time, a Task is created and displayed in "My Work" section.

### *4.2.1. Assign team*

The Programme Manager must navigate to the "Project team" tab (see Figure 54) and assign the project team members for a given application. It is always possible to update/change at any time an already assigned team.

The specific roles to assign are the following: Project Manager (PM), Assessor (AS), Assuror (AR), Decision Maker (DM).

The assessment team is composed of the Project Manager and Assessors of the different Authorities concerned with the application.

The roles of Financial Officer (FO) and Observer (OB) are optional.

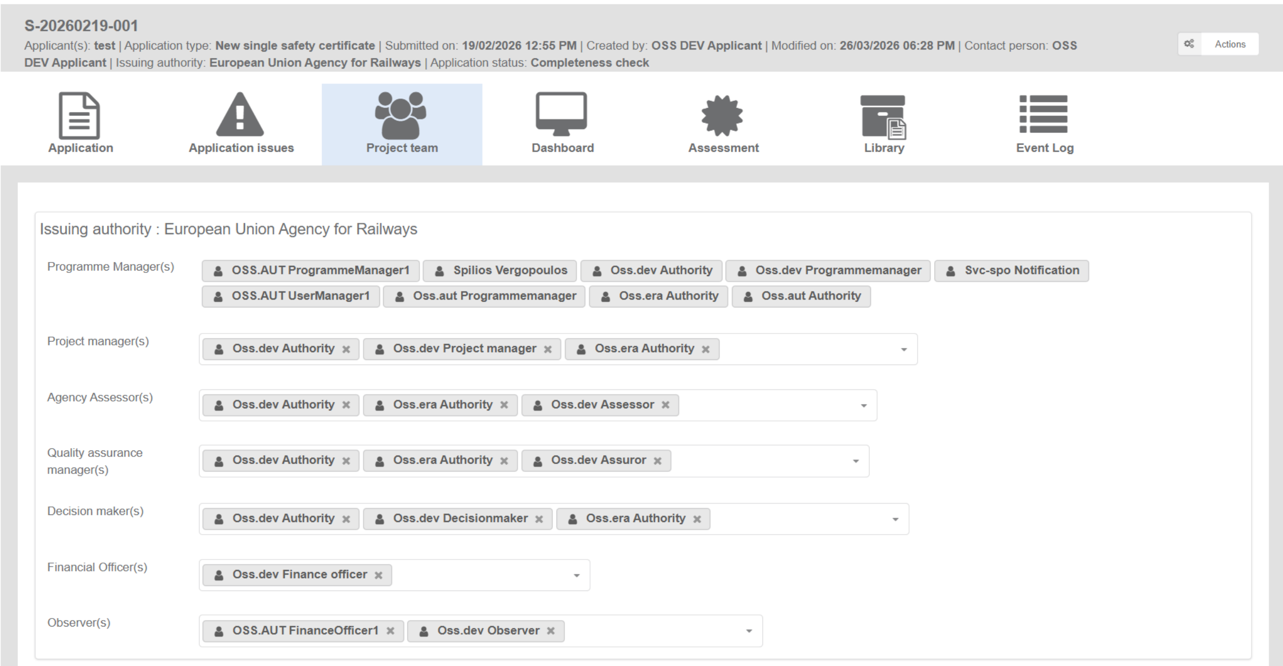



Figure 54: Assessment team page

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

In the cases where ERA is the Issuing Authority, the NSA Programme Manager must additionally assign the Assessor(s) and Observer(s) of their own organisation. If the Issuing Authority is the NSA, the assignment of all the roles is made only by the NSA Programme Manager. Both ERA and NSA Programme Managers 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 55.

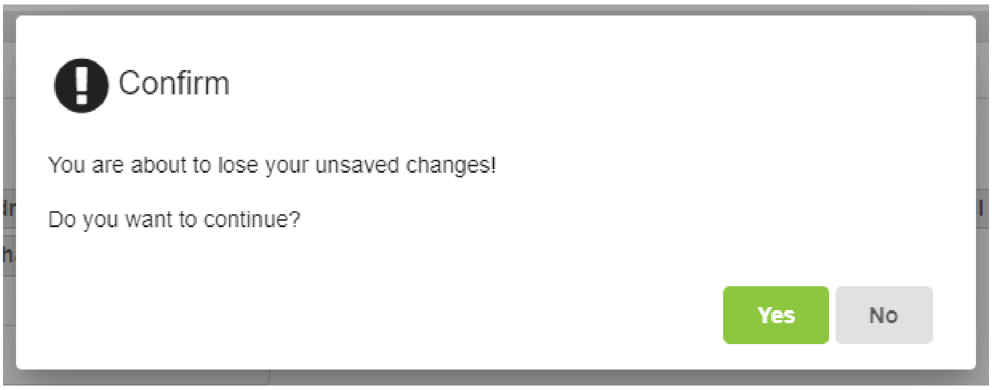



Figure 55: Warning message about unsaved information

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

Exceptionally, in TA, the NSA Programme Managers receive the notification of the submission of application but only assign the role of Observer to their team as shown in Figure 56. There are no Assessors, Assurors and Project Managers for the NSAs.

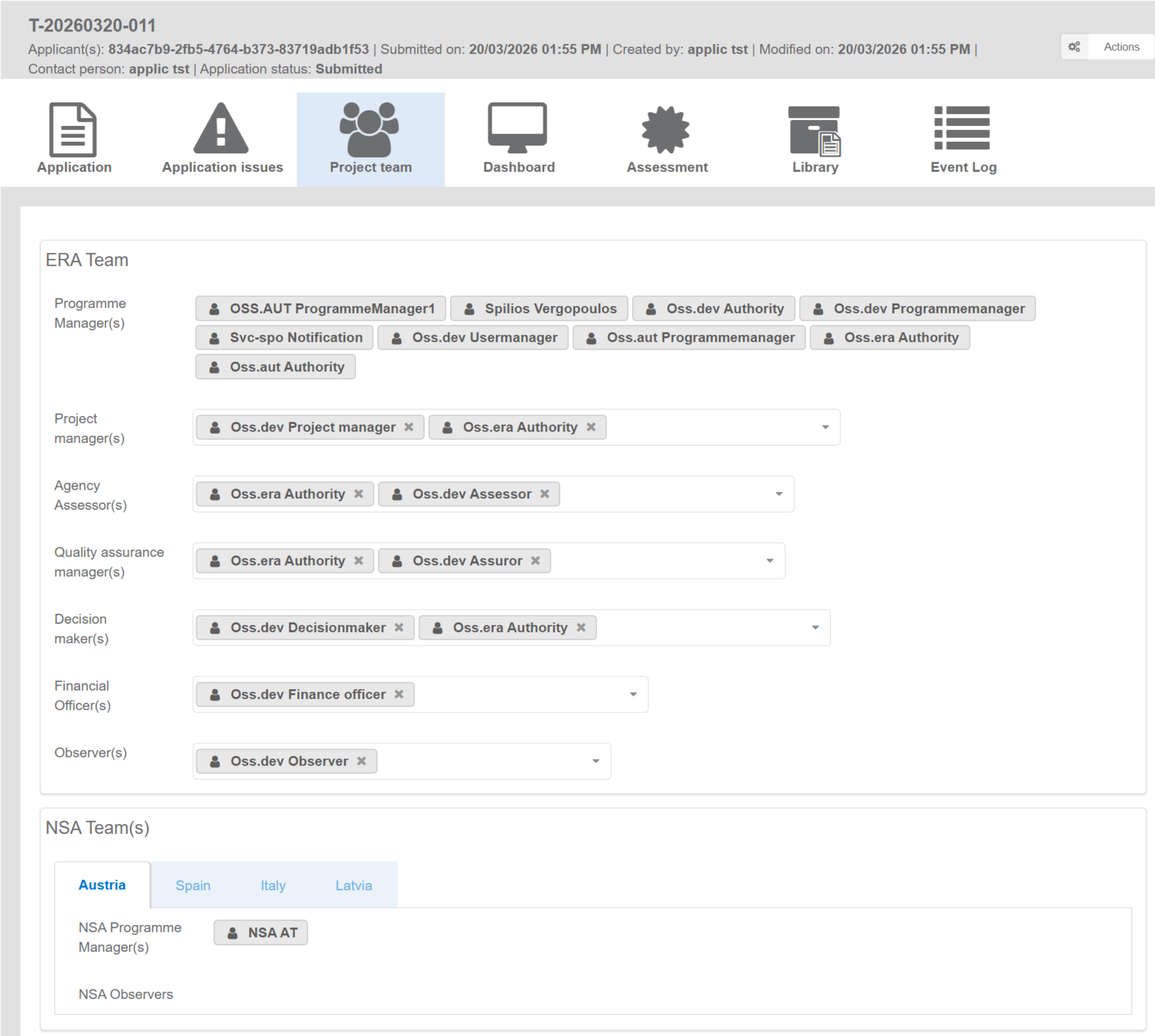



Figure 56: Programme Manager TA roles

## 4.3. Tasks for Project Managers (PM)

The Project Manager is responsible for the application assigned to it by ensuring effective, timely and technically sound assessment and by ensuring the whole process is properly undertaken.

Initially the Project Manager 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 26. An alternative navigation path to the Recommendation page is through the “Assessment” tab.

### *4.3.1. Submit Recommendation (SSC)*

The Project Manager is responsible for submitting the Recommendation that is composed of:

- the Recommendation report,
- the Cover letter, and
- the Single Safety Certificate (SSC) if one is to be issued.

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

Under the “Recommendation” tab, the Project Manager fills in the relevant information and selects the radio buttons with “Yes, No or N/A (Not Applicable)”. The “Cover letter” is already filled in, although it is editable.

If the Project Manager presses the “Add issue” button, the system prompts a modal window displaying the list of the issues from the issue log, and allowing for selecting any of them. More details for attach file(s) can be found in section 8.3.

The Project Manager can also edit the issue type, issue title and issue resolution. In such a case, **the modifications made in the report are not replicated in the issue log. It is therefore strongly recommended to perform the change directly from the issue log (see section 5) unless the issue is no longer editable.** This can be done by deleting the uploaded issues from the report, by updating the relevant issues (if possible) from the issue log, and by adding again the relevant issues into the report.

At the end of the Recommendation report, if the Project Manager selects the “Yes” radio button in the option “I recommend that the single safety certificate is issued”, the system adds an extra tab “Single Safety Certificate” next to the existing tabs “Recommendation” and “Cover letter”, as shown in Figure 57.

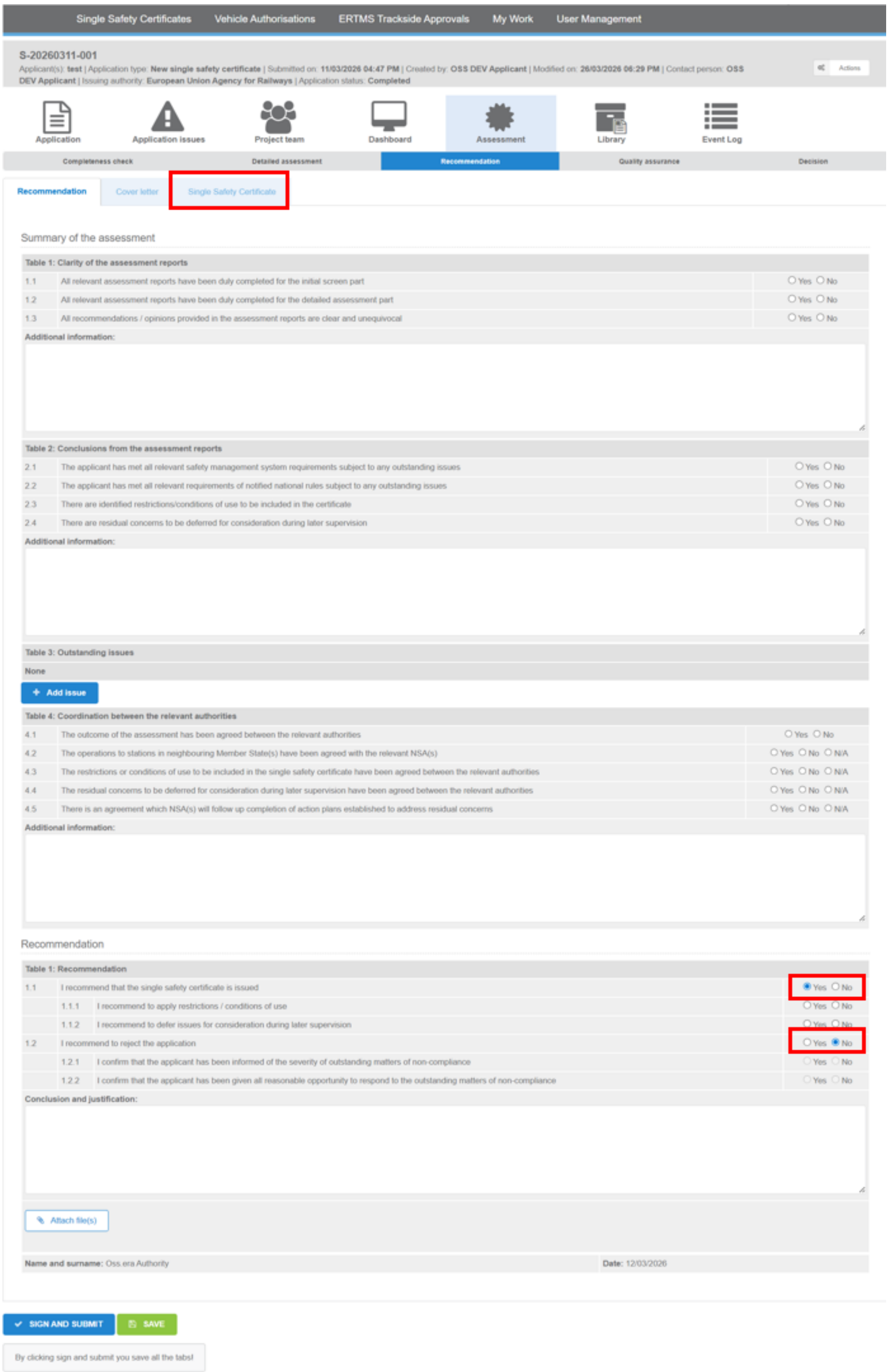


Figure 57: Recommendation report (SSC)

Depending on the selections made by the Project Manager in radio buttons 1.1 – 1.1.1 and 1.2, the cover letter is automatically populated with the corresponding predefined text, as shown in the next Figures.

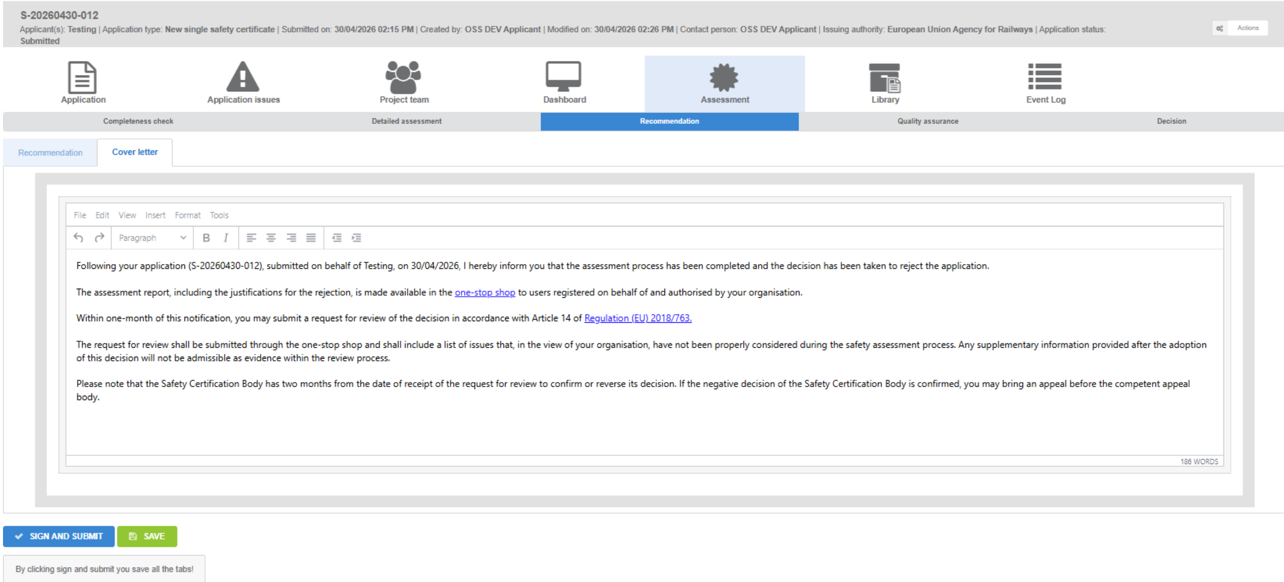


Figure 58: Cover Letter Option 1 (1.1 Yes – 1.1.1 Yes)

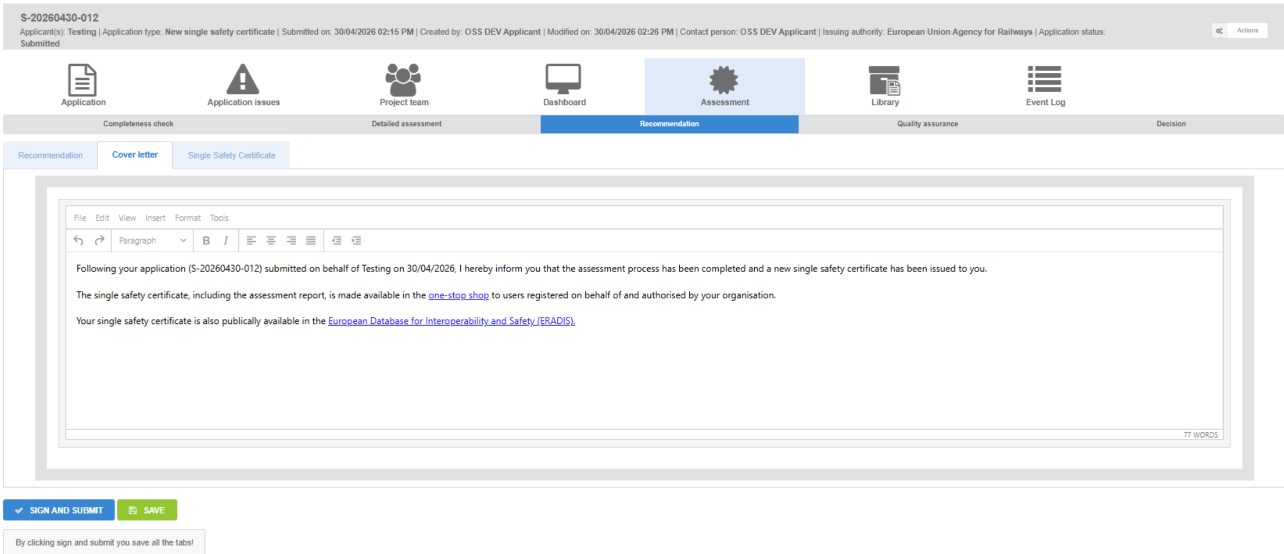


Figure 59: Cover Letter Option 2 (1.1 Yes – 1.1.1 No)

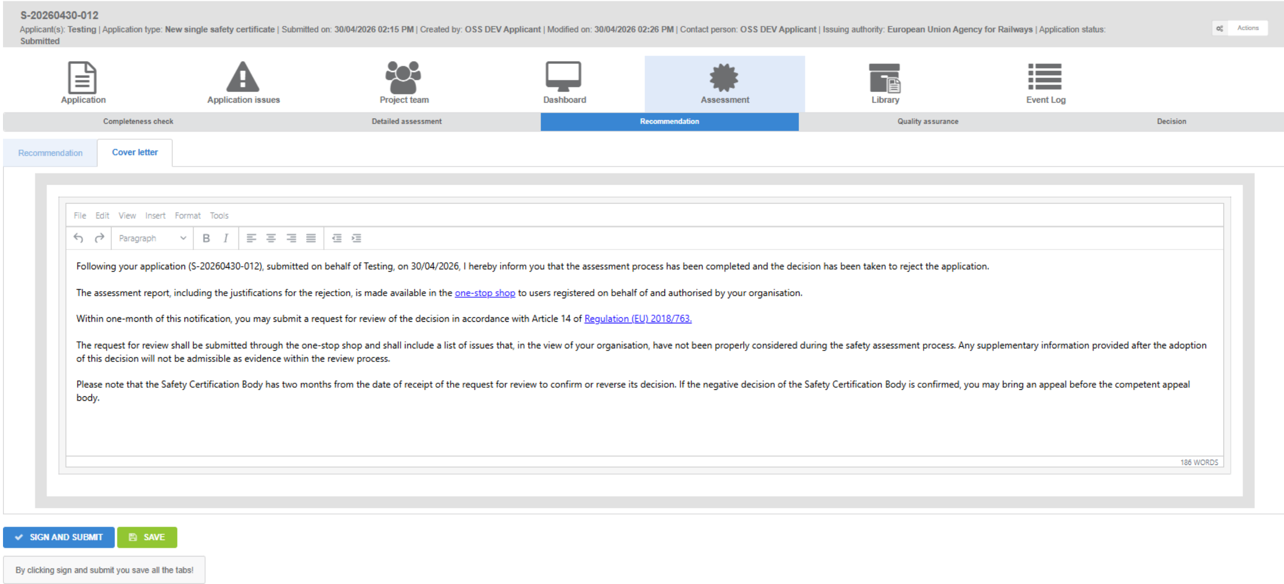



Figure 60: Cover Letter Option 3 (1.2 Yes)

Also, the Project Manager can upload/ attach any files needed for the report by clicking on the second "Attach files" button. More details for attach file(s) can be found in section 8.1.

To save the report, the Project Manager clicks on "Save" button, as show in Figure 61 and can continue updating the report.


Figure 61: Save button

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

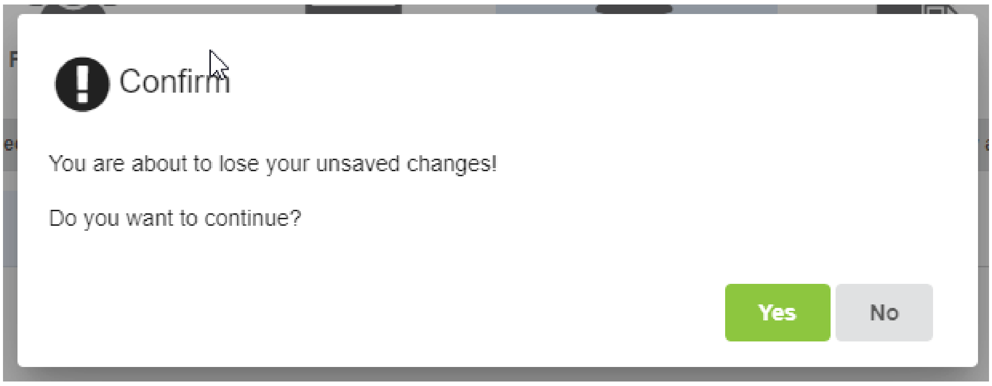



Figure 62: Warning message about unsaved information

In the “Single Safety Certificate” tab, the content of the Single Safety Certificate is pre-filled with information registered in the Application page. Some fields can still be edited as shown in Figure 63. The Project Manager is invited to check the type of certificate, the EIN of the previous certificate (from [ERADIS database](#)) and the applicant details. If information needs correction, this can be requested to the Applicant by creating an application issue (see section 5) to modify the content of its application. If not possible, the change can be directly managed by the Project Manager by editing the Single Safety Certificate.

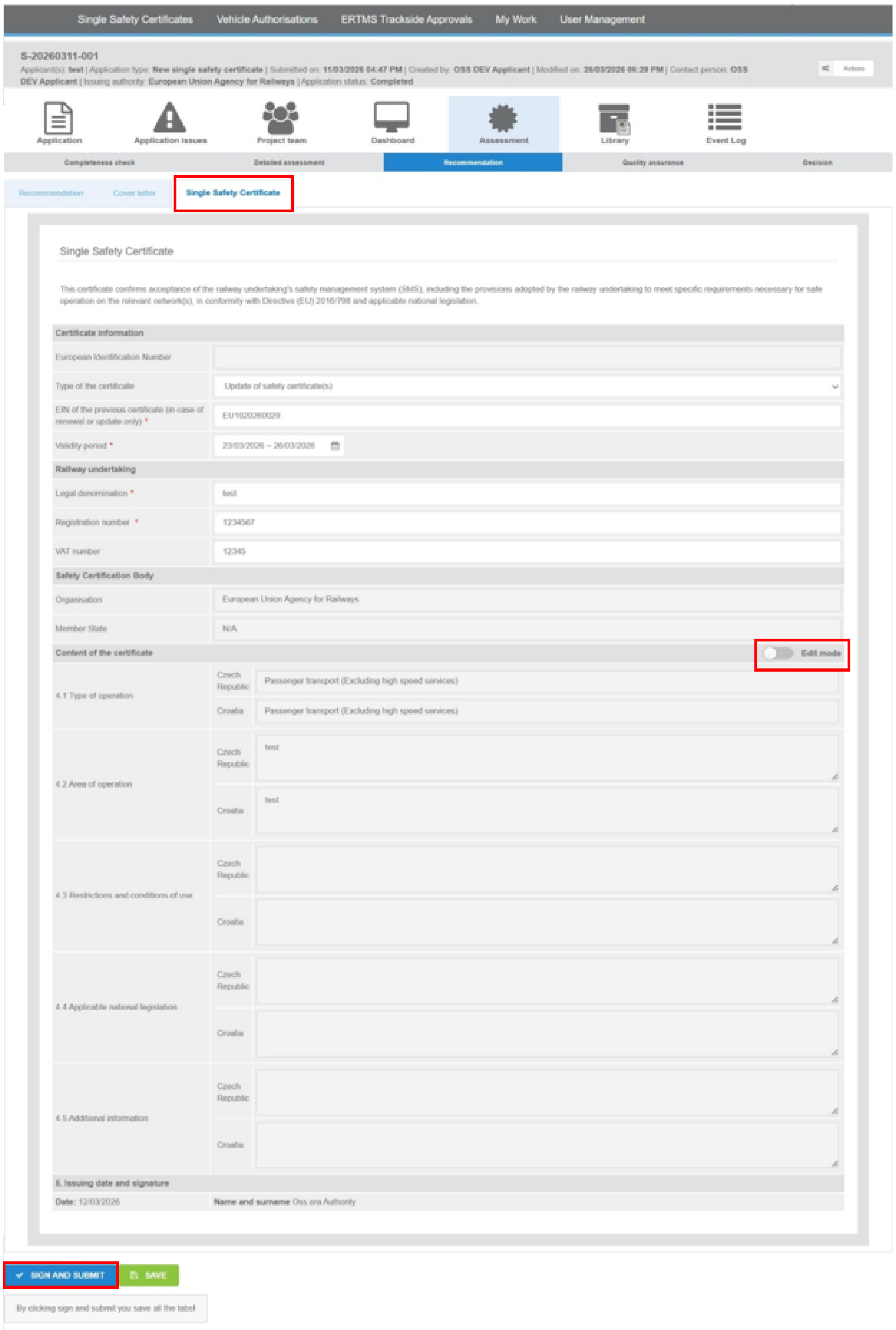



Figure 63: Single Safety Certificate

The "Content of the certificate" part of the Single Safety Certificate is read only (grey shaded) by default. The Project Manager can however edit it by toggling the button "Edit mode", as also shown in Figure 64. This includes the option to add/remove Member States to the area of operation by pressing the button "Add/remove Member States" and by toggling the relevant buttons next to the Member States.

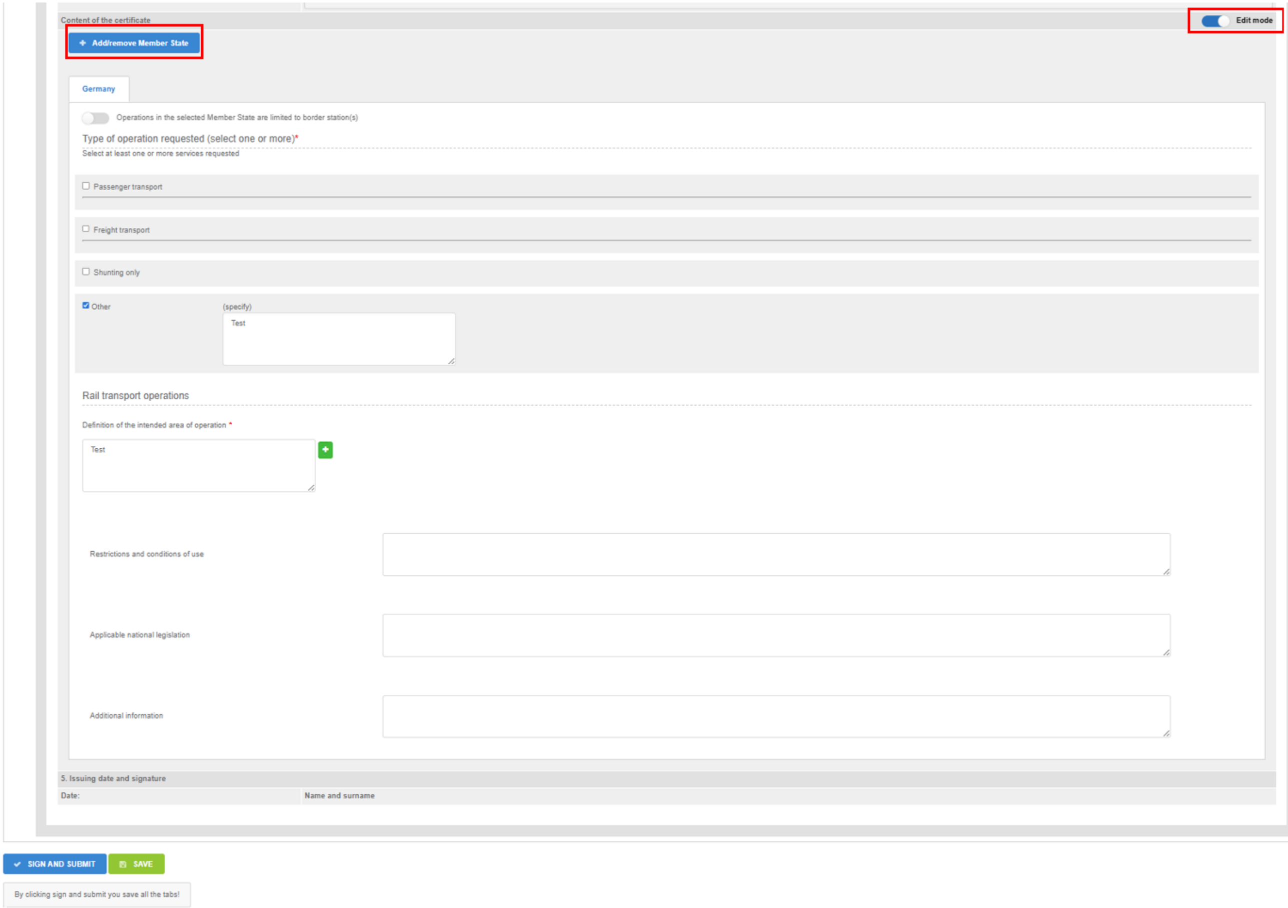



Figure 65: "Add/Remove Member state" button

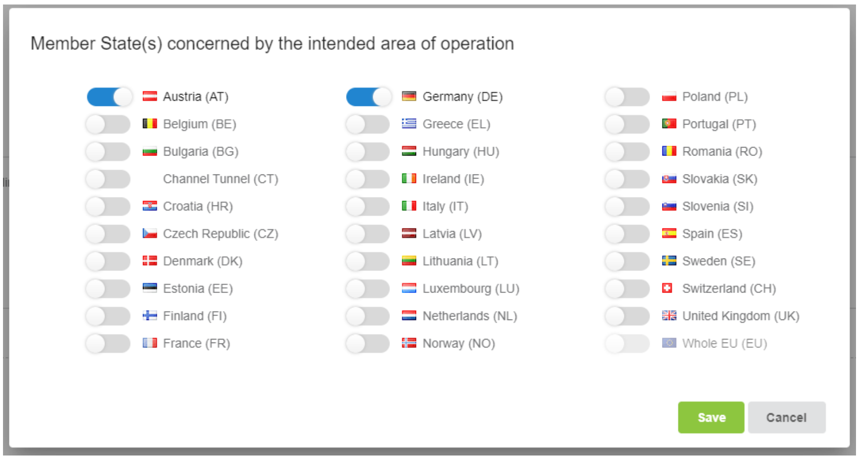



Figure 66: Member State(s) selection

For all the required 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, by highlighting it in red, and displays the red alert icon. If the user leaves empty required fields, then the system allows it to click on the “Save” button but the submission is not possible.

After checking the content of the Recommendation report, the draft cover letter and the draft Single Safety Certificate (if any), the Project Manager clicks on “Sign and Submit” button (see Figure 67) at the bottom of any of the tabs, as also shown in Figure 63.


Figure 67: Sign & Submit button

If the Project Manager clicks on “Sign and Submit” button, the system prompts a new modal window as shown in Figure 51. The Project Manager can select the language in which the Recommendation report is to be issued (i.e. exported in PDF format and stored in the application library). **Irrespective of the language selected for the User Interface, the default language of the PDF export for the Cover Letter and the SSC, corresponds to the language selected by the Applicant in the Application page.** It downloads the report in PDF format in order to (print and) sign it and then uploads the signed copy of the report by choosing a file or drag and drop. Finally, it presses the “Submit” button. The report is then submitted, together with the draft cover letter and the draft Single Safety Certificate, and no other changes can be made.

A confirmation message is displayed upon successful submission. The system notifies the Decision Maker and the assessment team members unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The Recommendation report, the draft cover letter and the draft Single Safety certificate (if any) are stored in the “Decision” folder of the “Assessment file” parent folder in the application library.

#### *4.3.2. Submit Recommendation (VA)*

The Project Manager is responsible to recommend a decision and prepare an authorisation in VA cases. To do that, the Project Manager clicks on the tab “Assessment” and then navigates to the “Recommendation” tab.

The Project Manager fills in the required information in the tabs “Recommendation”, “Cover letter” and “Authorisation report” (if any).

The Project Manager can also, upload/ attach any files needed for the report by clicking the “Attach files” button. More details for attach file(s) can be found in section 8.1.

The tabs “Authorisation report” and “Cover Letter” are editable by the Project Manager, if it 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.

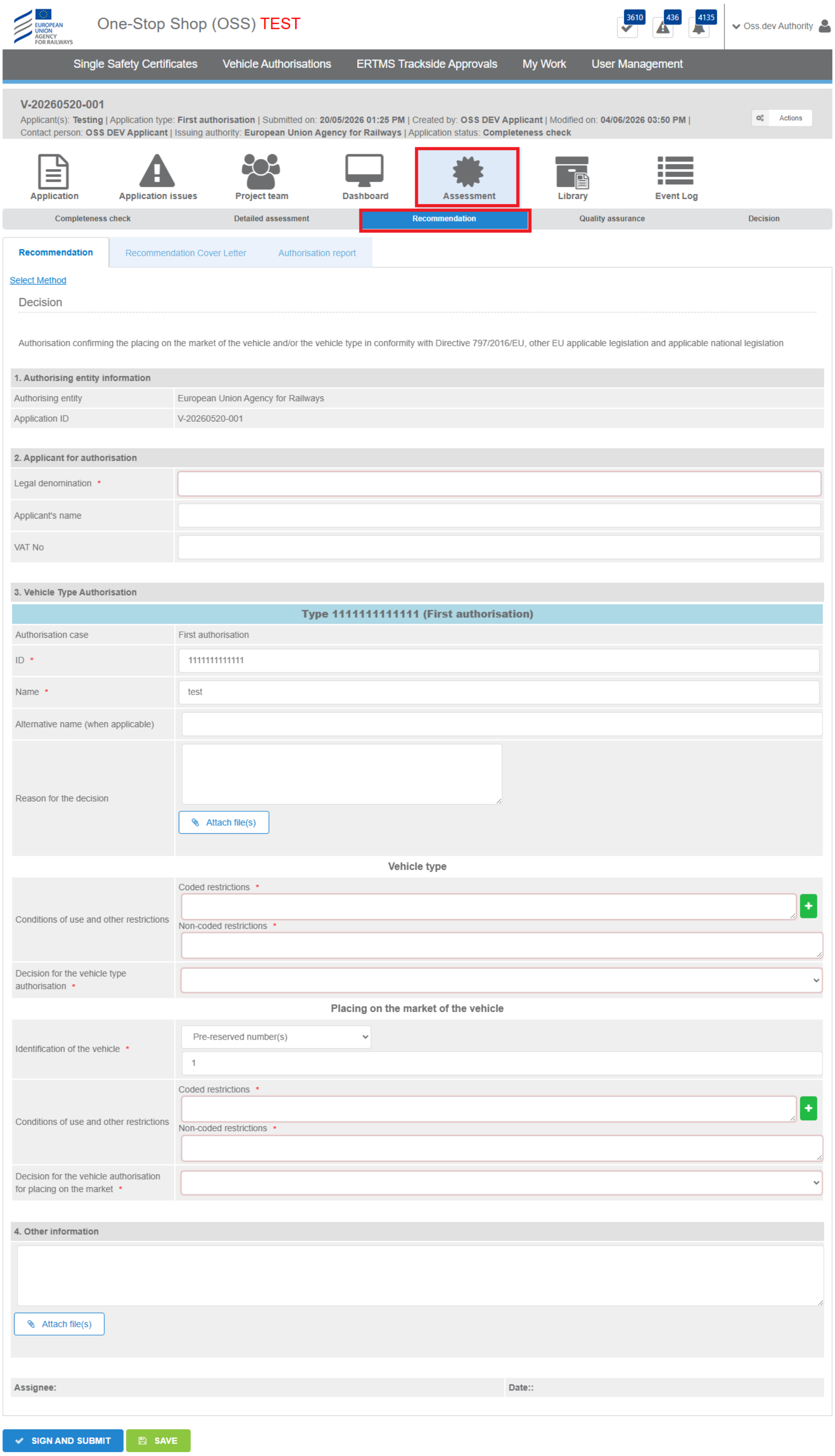


Figure 68: Recommendation - Authorisation reports (VA)

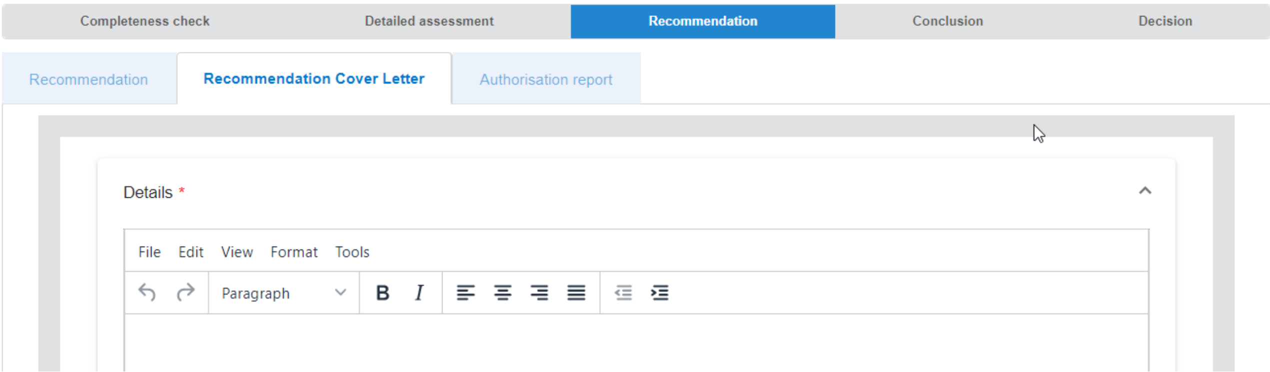



Figure 69: Cover letter (VA)

If the Project Manager 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 “Cover Letter” disappear.

To save the report, the Project Manager clicks on “Save” button, as show in Figure 61 and can continue updating the report.

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

For all the required 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, by highlighting it in red, and displays the red alert icon.

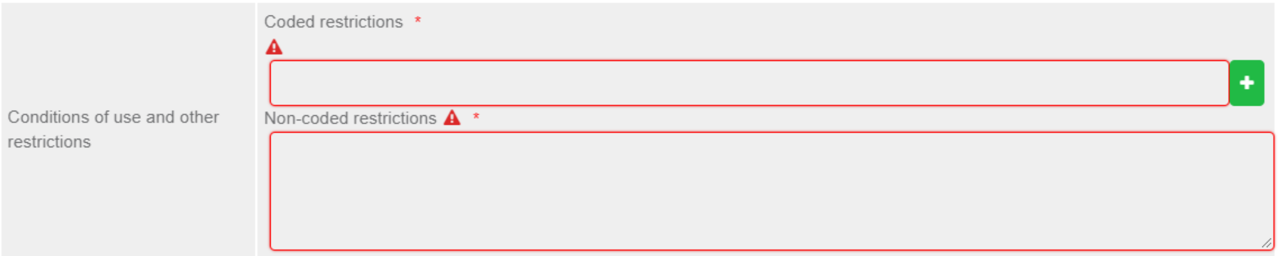



Figure 70: Alerts and fields in error

If the user leaves empty required fields, then the system allows it to click on the “Save” button but the submission is not possible.

After checking the content of the Recommendation report, the draft cover letter and the draft Authorisation report (if any), the Project Manager clicks on “Sign and Submit” button (see Figure 67).

If the Project Manager clicks on “Sign and Submit” button, the system prompts a new modal window as shown in Figure 51. The Project Manager can select the language in which the Recommendation report is to be issued (i.e. exported in PDF format and stored in the application library). **Irrespective of the language selected for the User Interface, the default language of the PDF export for the Cover Letter and the VA, corresponds to the language selected by the Applicant in the Application page.** It downloads the report in PDF format in order to (print and) sign it and then uploads the signed copy of the report by choosing a file or drag and drop. Finally, it presses the “Submit” button. The report is then submitted, together with the draft cover letter and the draft Vehicle Authorisation , and no other changes can be made.

A confirmation message is displayed upon successful submission. The system notifies the Decision Maker and the assessment team members unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The Recommendation report, the draft cover letter and the draft Authorisation report (if any) are stored in the “Decision” folder of the “Assessment file” parent folder in the application library.

#### *4.3.3. Request Appeal (VA/SSC)*

Upon the completion of the VA/SSC assessment, the Project Manager may start the appeal procedure by clicking the Actions button, as shown in Figure 71 and upon confirmation through a dialog window, it may upload the necessary documents for the appeal, as show in Figure 72.

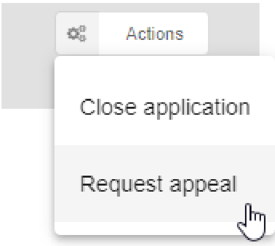



Figure 71: Request Appeal

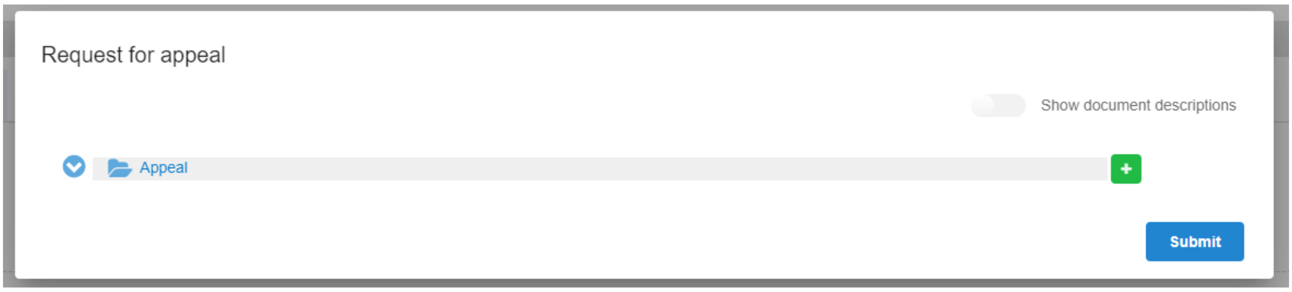



Figure 72: Request Appeal document upload

#### *4.3.4.* Request Appeal termination *(VA/SSC)*

Upon the completion of the Appeal process, the Project Manager may request the termination of the appeal by clicking the Actions button, as shown in Figure 73.

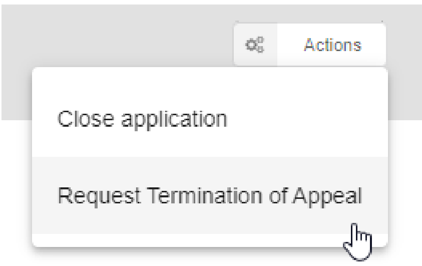



Figure 73: Request Appeal termination

#### *4.3.5. Submit Recommendation (TA)*

The Project Manager fills in the required information in the tabs “Recommendation” and “Cover letter”.

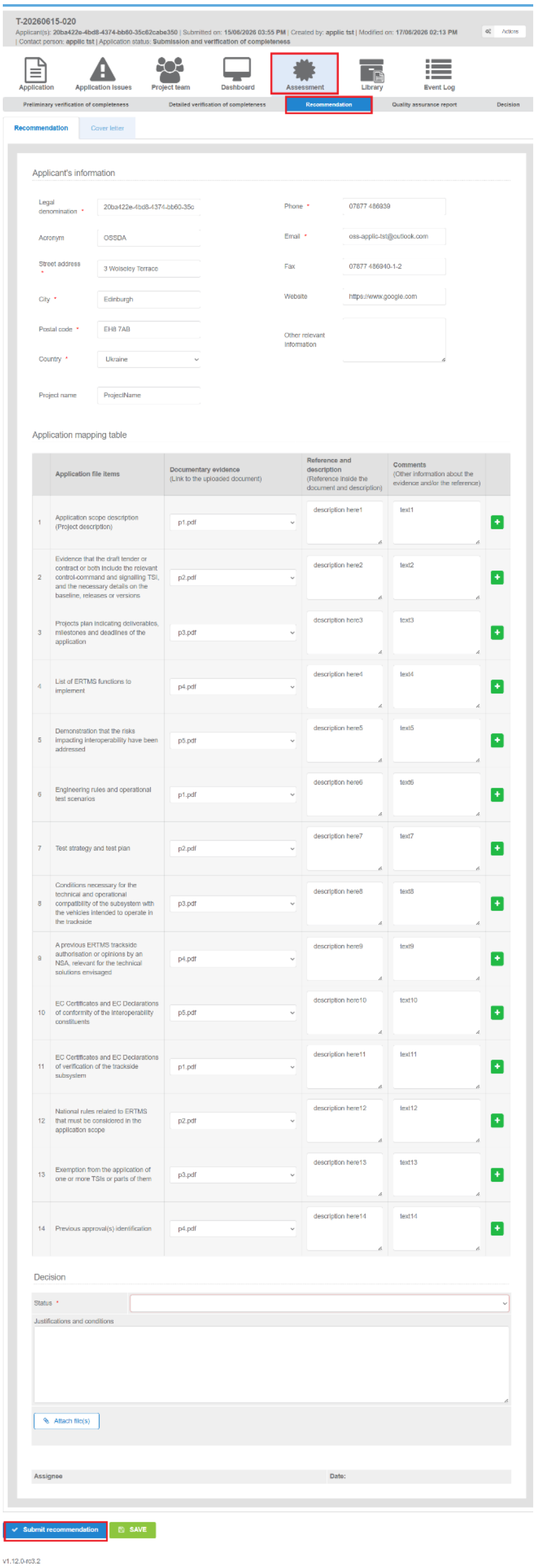


Figure 74: TA Recommendation report

If the Project Manager selects the "Positive" or "Negative" choices from the dropdown list in the field "Status", the Recommendation report is the same as in shown in Figure 74.

In the case where the option is "Positive with conditions", from the dropdown list, the system displays another field "Conditions" which is mandatory. It can add more condition fields by clicking on "+" button as shown in Figure 75.

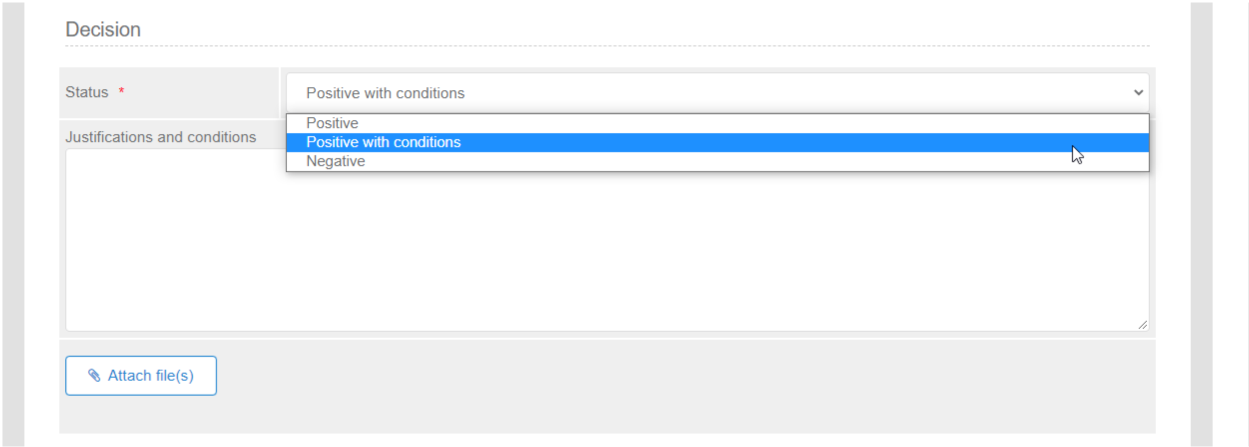



Figure 75: Recommendation report (TA)

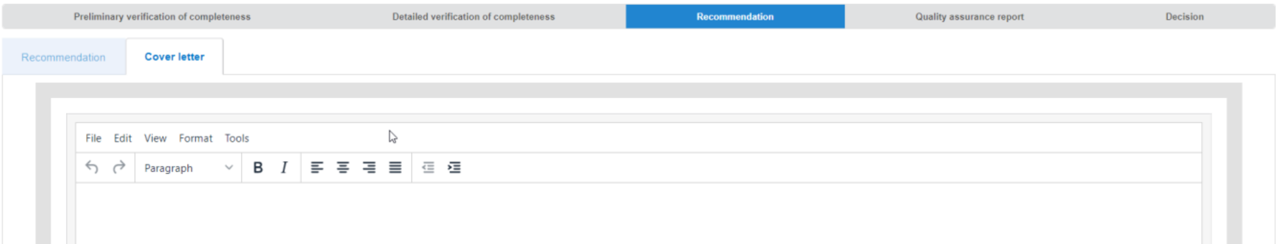



Figure 76: Cover letter (TA)

The Project Manager can also, upload/ attach any files needed for the report by clicking the "Attach files" button. More details for attach file(s) can be found in section 8.1

To save the report, the Project Manager clicks on "Save" button, as show in Figure 61 and can continue updating the report.

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

For all the required 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, by highlighting it in red, and displays the red alert icon. If the user leaves empty required fields, then the system allows it to click on the "Save" button but the submission is not possible.

After checking the content of the Recommendation report and the draft cover letter, the Project Manager clicks on "Sign and Submit" button (see Figure 67).

If the Project Manager clicks on "Submit recommendation" button, the system prompts a new modal window as shown in Figure 51. The Project Manager can select the language in which the Recommendation report is to be issued (i.e. exported in PDF format and stored in the application library). **Irrespective of the language selected for the User Interface, the default language of the PDF export for the Cover Letter and the TA, corresponds to the language selected by the Applicant in the Application page.** It downloads the report in PDF format in order to (print and) sign it and then uploads the signed copy of the report by choosing a file or drag and drop. Finally, it presses the “Submit” button. The report is then submitted, together with the draft cover letter and the draft Trackside approval, and no other changes can be made.

A confirmation message is displayed upon successful submission. The system notifies the Decision Maker and the assessment team members unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The Recommendation report and the draft cover letter are stored in the “Recommendation” folder of the “Assessment file” parent folder in the application library.

#### *4.3.6. Send acknowledgement of completeness*

When the Project Manager ensures that all authorities have declared the application file as complete, and within one month after the start of assessment, it is required to acknowledge completeness to the applicant.

To perform the action, the Project Manager selects to “View” the application, navigates to “Actions” button and selects the option “Send Acknowledgement of Completeness” for VA/SSC, as shown in Figure 77, or “End submission and verification of completeness” for TA. Then the system displays a pop-up window, and upon confirmation, the acknowledgement action is complete.

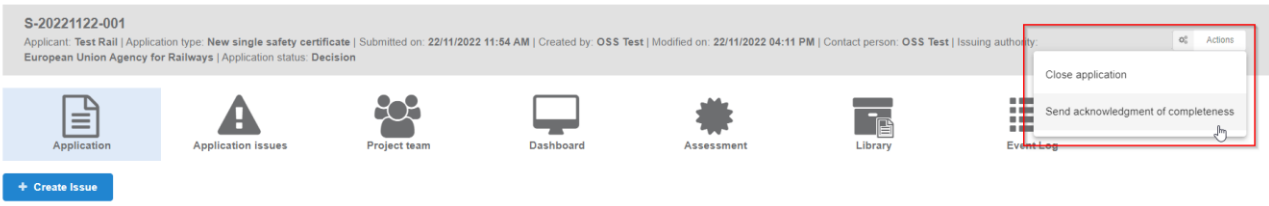



Figure 77: Send acknowledge of completeness (SSC)

Following the action by the Project Manager , the applicant and the assessment team members are notified about the acknowledgement of completeness, and the application status changes to “Assessment”. Finally, an acknowledgement of completeness letter is generated in the “Formal Communication” folder of the application library (under the parent folder “Assessment file”), which is visible to all users.

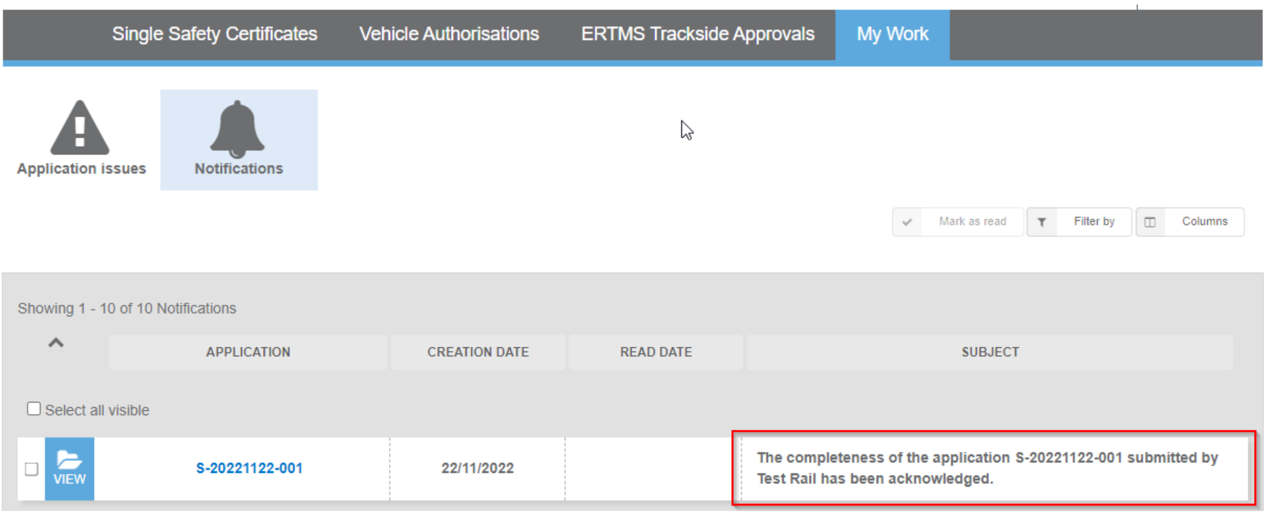



Figure 78: Notification message

### *4.3.7. Request update of reports*

After submission of the reports, the Project Manager may request the update of the reports submitted by the assessment team members **except for the Recommendation report which can be updated on request of the Decision Maker only**. Nevertheless, the process is the same. Only the action may differ from one report to another. For example, only the Project Manager can edit the Recommendation report while Assessors of a given Authority can edit their respective Completeness check or Detailed assessment report.

Through the Assessment tab, after selecting the relevant report (e.g. Completeness check, Detailed assessment, Recommendation), the Project Manager or Decision Maker as appropriate can press the "Request update" button as shown in Figure 79. Following this action, the system notifies the related user of this request (unless the notification has been deactivated in its user profile) and the latter is able to re-submit the report.

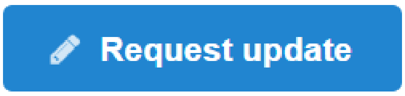



Figure 79: Request update

### *4.3.8. Cancel request update of reports*

After a Project Manager or Decision Maker as appropriate has requested an update of a report, the system allows the Project Manager or Decision Maker as appropriate to cancel this request. Once the update request has been submitted, the "Request update" button enters a loading state and becomes disabled while the "Cancel requested update" button becomes available as shown in Figure 80.

By selecting this option, the Project Manager or Decision Maker as appropriate can withdraw the previously submitted update request, upon which the system displays a confirmation message indicating that the request has been cancelled and re-enables the "Request update" button. This functionality enhances user control and ensures that update actions can be reversed when no longer needed.


Figure 80: Cancel request update

#### 4.3.9. *Request review termination*

Upon a Request for Review submitted by the Applicant, the Project Manager receives the relevant notification (see Figure 81) unless deactivated in its user profile.

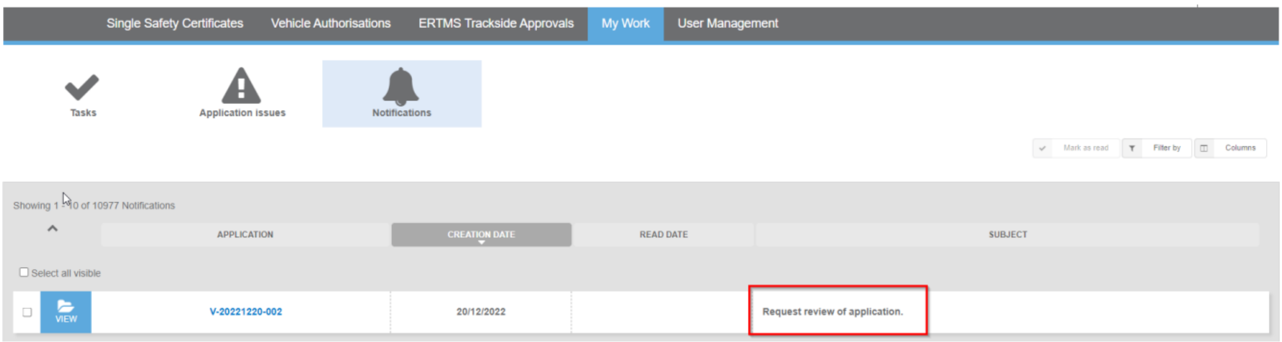



Figure 81: Request Review notification

After the necessary actions taken for the requested review, the Project Manager may period by clicking on the “Actions” button, as shown in Figure 82.

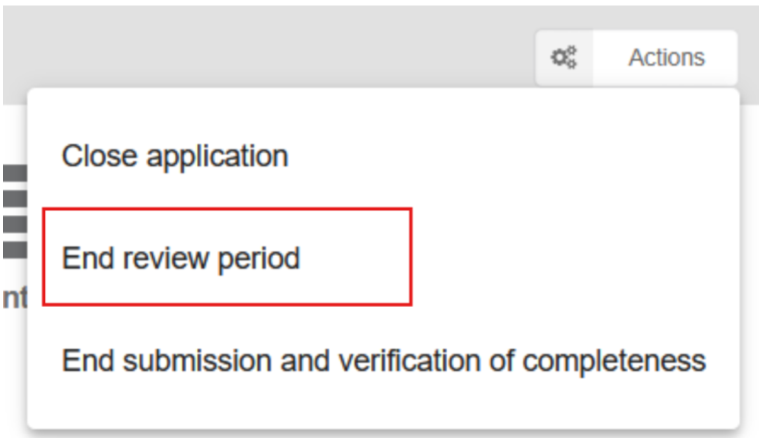



Figure 82: End review period

#### 4.3.10. *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 (see Figure 26). Alternatively, the Project Manager selects to “View” the application, navigates to “Actions” button, as shown in Figure 77, and selects the “Close application” option. The system displays a page similar to the one in Figure 83.

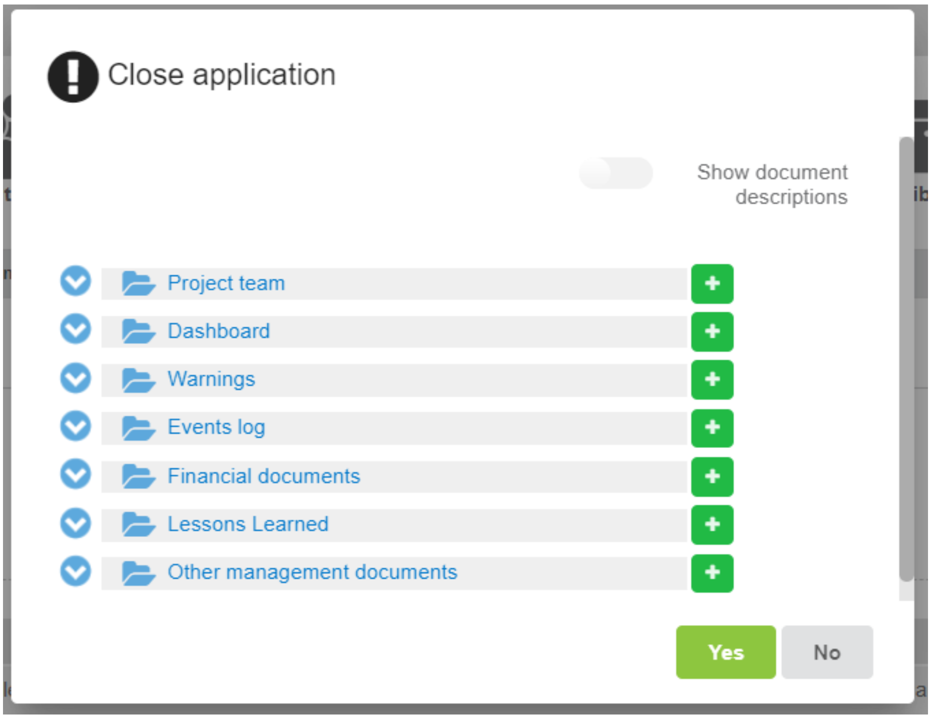



Figure 83: Close application pop-up window

In the case where the termination is requested by the applicant, the Project Manager is invited to upload any file (e.g. email sent by the applicant) in the application library (see Figure 84) confirming the applicant's intention together with the justification for it.

After confirmation, the application has status "Closed" and no one can edit/update it until it is reopened by the Programme Manager of the Issuing Authority.

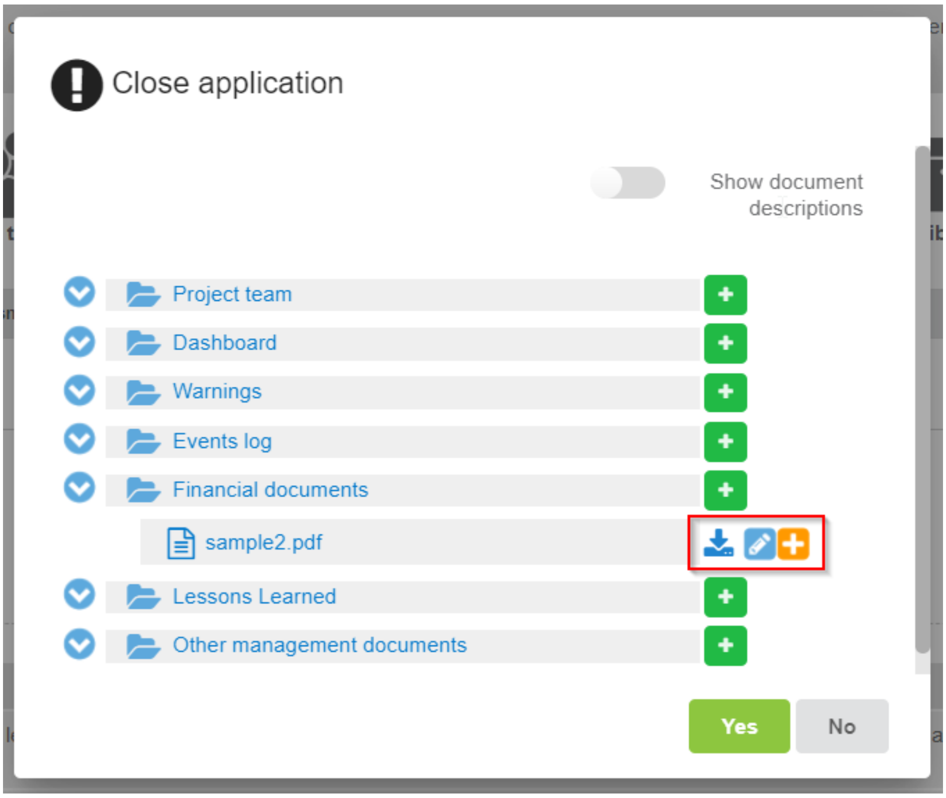



Figure 84: Adding a file before closing application

#### *4.3.11. Manage milestones*

In the Dashboard page, the “Project plan” tab allows for managing and communicating the important dates (milestones) of each application, including the application status.

The Project Manager can update the planned date of a predefined milestone as shown in Figure 85. This could be useful in cases when the calculated dates do not fit the project plan anymore. In the case where the planned date of predefined milestones “Acknowledgement of completeness” and “Decision” (when applicable) is changed and exceeds the legal timeframes, a red alert icon is displayed, as shown in Figure 86.

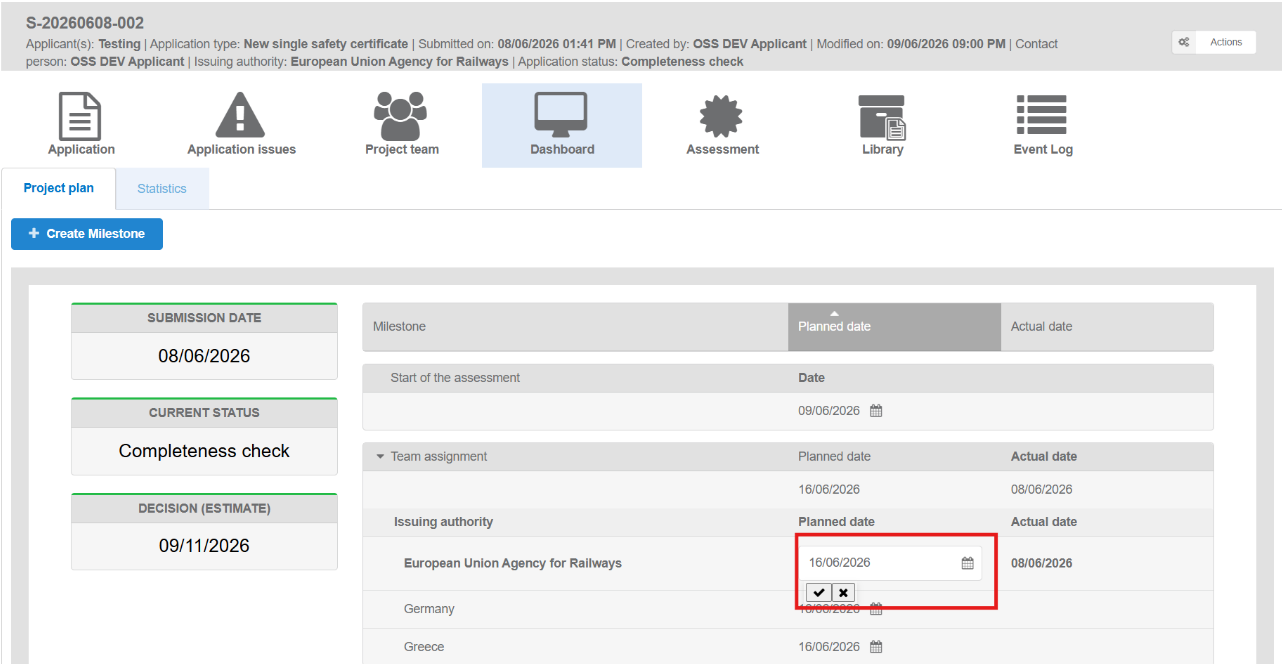



Figure 85: Dashboard page

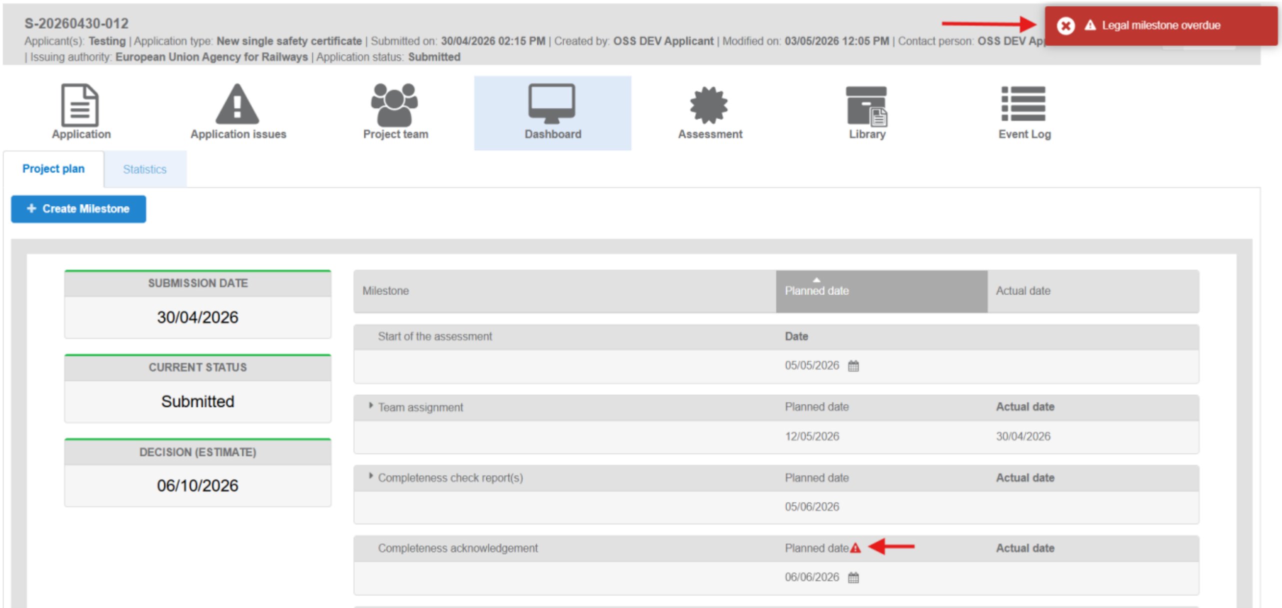



Figure 86: Warning Milestone Dashboard page

The Project Manager also has the option to create custom milestones, by selecting to navigate to the “Dashboard” tab. Following that, the Project Manager must select the “Create milestone” option as shown in Figure 87.


Figure 87: Create Milestone button

For adding a new milestone, the Project Manager is requested to define a name (required field), the planned date, the actual date, and if the Applicant can view this milestone or not (see Figure 88).

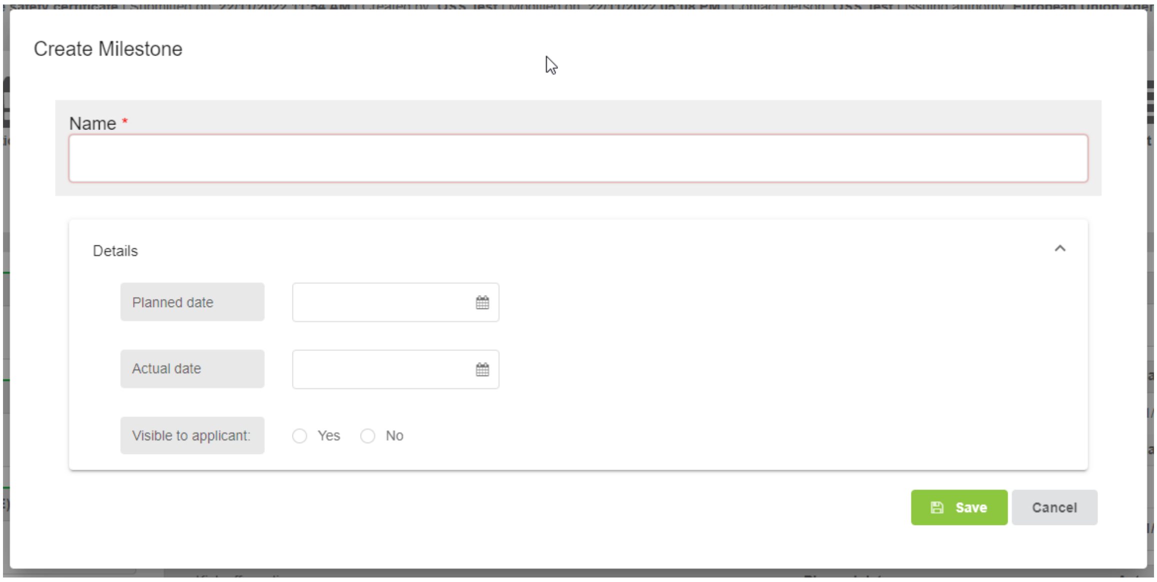



Figure 88: Create milestone modal window

The Project Manager 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.

### *4.3.12. Extend timeframe of the assessment*

The Project Manager may decide to extend the timeframe of an assessment. To achieve that, the Project Manager navigates to the "Dashboard" tab of an **application that is not in status "submitted/completed/closed"**. Then, the Project Manager selects from the "Actions" button, as shown in Figure 89, the option "Extend timeframe of the assessment".

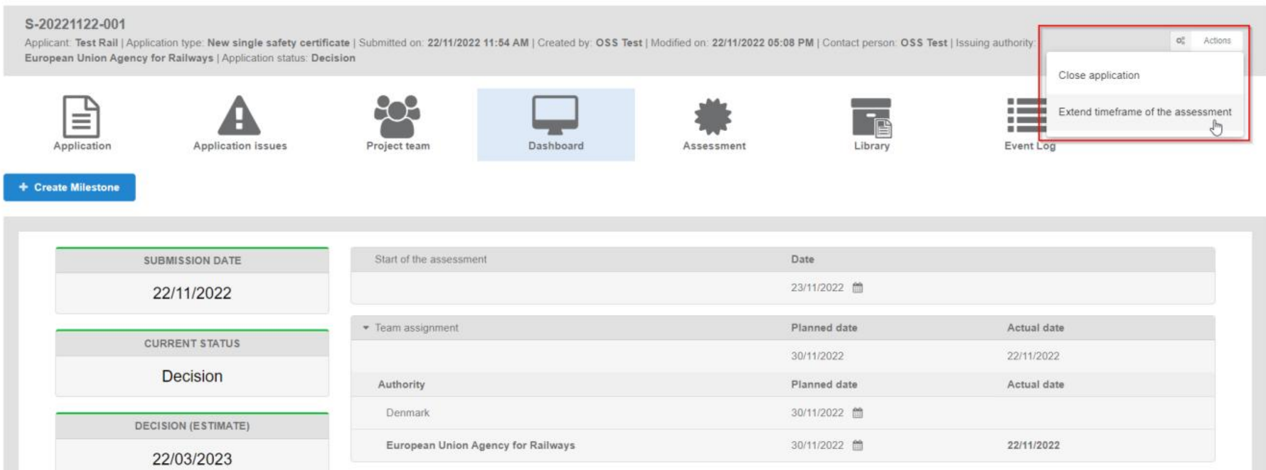



Figure 89: Extend timeframe

A new modal window similar to the one in Figure 90 is prompted.

The Project Manager is then requested to provide the following information:

- The number of days for the extension of the timeframe of the assessment.
- The reasons for extending the timeframe by selecting the relevant issues by means of the "+" button.
- Any additional comment (free text field).

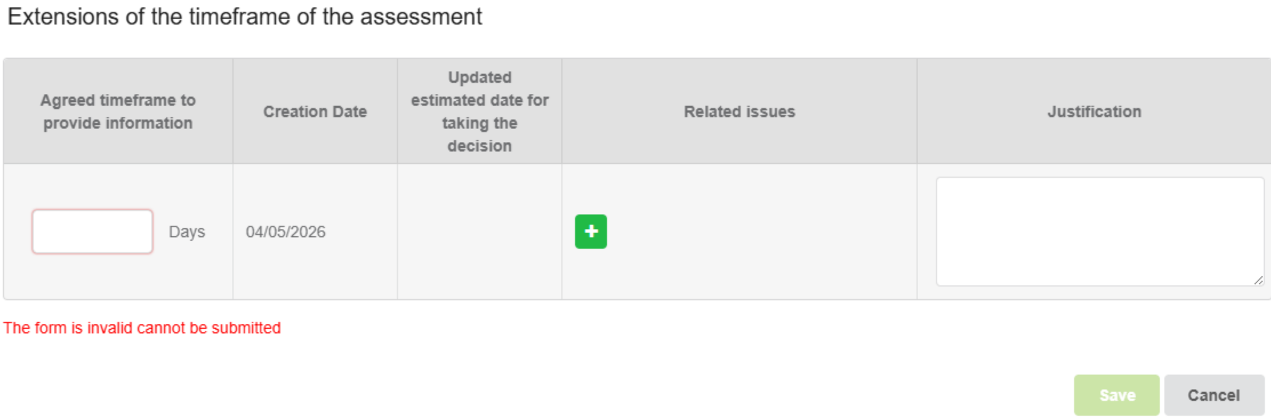



Figure 90: Extensions of the timeframe of the assessment form

After pressing the "Save" button, a confirmation message is displayed, and a notification is sent to the Applicant and the assessment team members (unless it has been deactivated in their respective user profile).

#### *4.3.13. Document Deletion in Application Library*

The Project Manager can delete files located in the following folders under the Assessment file section:

- Coordination process (SSC/VA only)
- Formal communication
- Management
- Other documents

A checkbox is displayed next to each file in the above folders. When one or more files are selected, a "Delete" button becomes available at the top of the Library page as shown in Figure 91.


Figure 91: Delete selected file(s) button

Then, the system displays the below confirmation message:

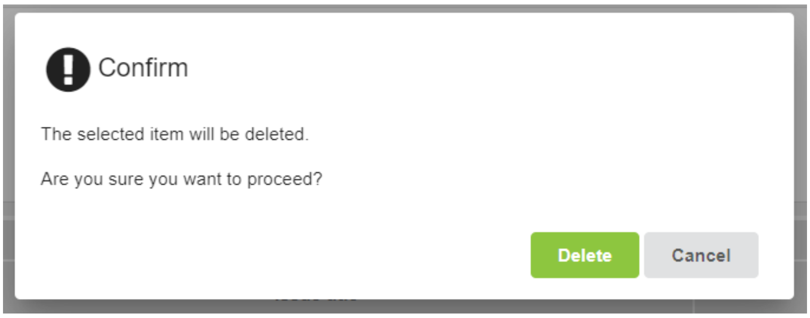



Figure 92: Confirmation message for the deletion of a file

## 4.4. Tasks for Assessors (AS)

An assessor contributes to the assessment of an application file. Their main responsibility is to submit the Completeness check and Detailed Assessment reports for SSC and VA and to submit the "Initial Completeness Verification and Detailed Completeness Verification" for TA.

Initially the Assessor receives a notification on its allocation to the application (unless the notification is deactivated in its user profile). At the same time, the task about the submission of the reports has been created in "My Work" section as shown in Figure 26. An alternative way to navigate to the related page of the reports is through the "Assessment" tab.

### *4.4.1. Submit Completeness check and Detailed assessment reports (SSC)*

The Assessor can select the method (i.e. Fill-in the web form vs Upload your report), as shown in Figure 48.

In case the offline method is selected, more details can be found in section 4.1.2.

In case the online (i.e. fill in the web form) method is selected, the system displays a web form similar to the one in Figure 93.

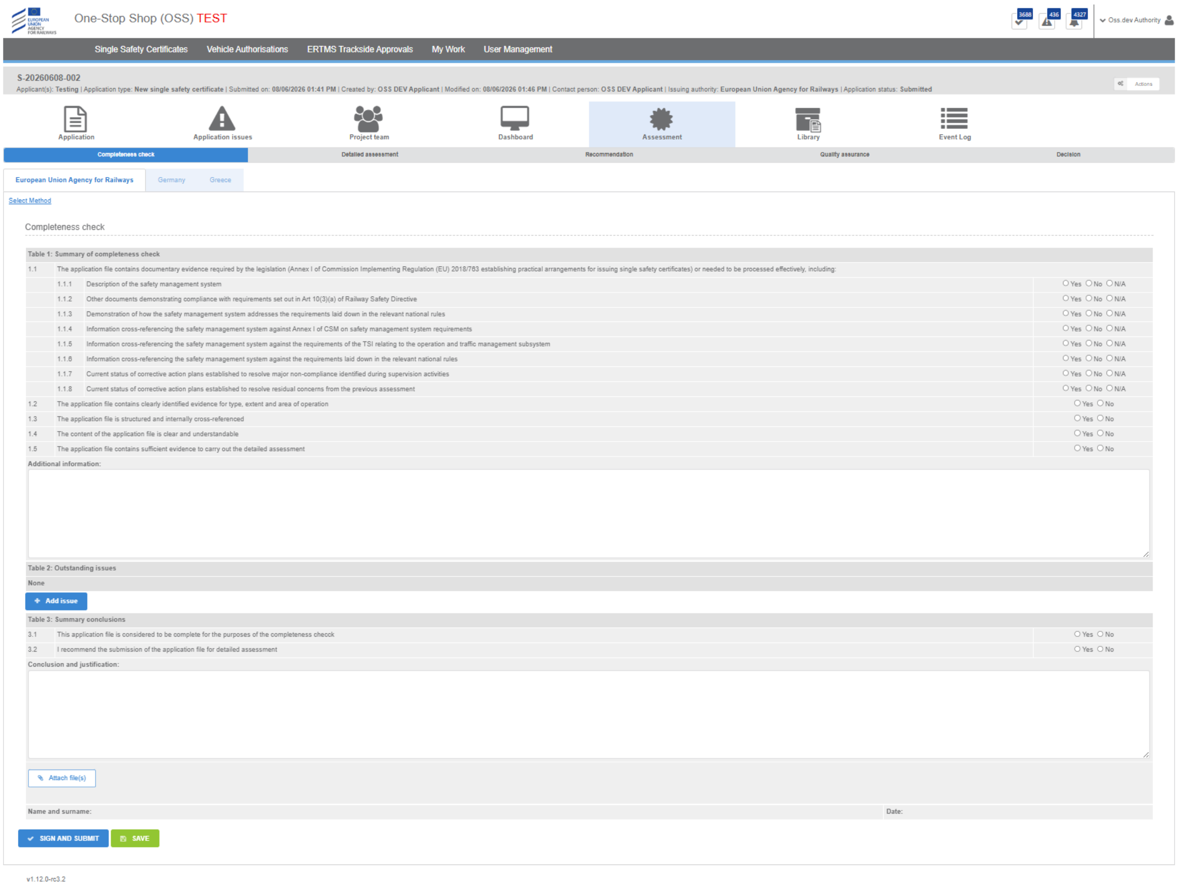


Figure 93: Completeness check web form (SSC)

In such a case, the Assessor works online to fill in the web form with the appropriate information and selects the radio buttons with “Yes, No or N/A (Not Applicable)”.

If the Assessor presses the “Add issue” button, the system prompts a modal window displaying the list of the issues from the issue log and allowing for selecting any of them. More details for attach file(s) can be found in section 8.3.

The Assessor can also, upload/ attach any files needed for the report by clicking the “Attach files” button More details for attach file(s) can be found in section 8.1

To save the report, the Assessor clicks on “Save” button, as show in Figure 61 and can continue updating the report.

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

For all the required 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, by highlighting it in red, and displays the red alert icon. If the user leaves empty required fields, then the system allows it to click on the “Save” button but the submission is not possible.

After checking the content of the report, the Assessor clicks on “Sign and Submit” button (see Figure 67).

If the Assessor clicks on “Sign and Submit” button, the system prompts a new modal window as shown in Figure 51. The Assessor can select the language in which the Recommendation report is to be issued (i.e. exported in PDF format and stored in the application library). It downloads the report in PDF format in order to (print and) sign it and then uploads the signed copy of the report by choosing a file or drag and drop. Finally, it presses the “Submit” button. The report is then submitted, and no other changes can be made.

A confirmation message is displayed upon successful submission. The system notifies the Project Manager, the Assessor and the Assuror unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The report is stored in the “Assessment reports” folder of the “Assessment file” parent folder in the application library.

### *4.4.2. Submit Completeness check and Detailed assessment report (VA)*

The Assessor can select the method (i.e. Fill-in the web form vs Upload your report), as shown in Figure 48.

In case the offline method is selected, more details can be found in section 4.1.2.

In case the online (i.e. fill in the web form) method is selected, the system displays a web form as shown in Figure 94 for the completeness check or in Figure 95 for the detailed assessment.

In such a case, the Assessor works online to fill in the web form with the appropriate information.

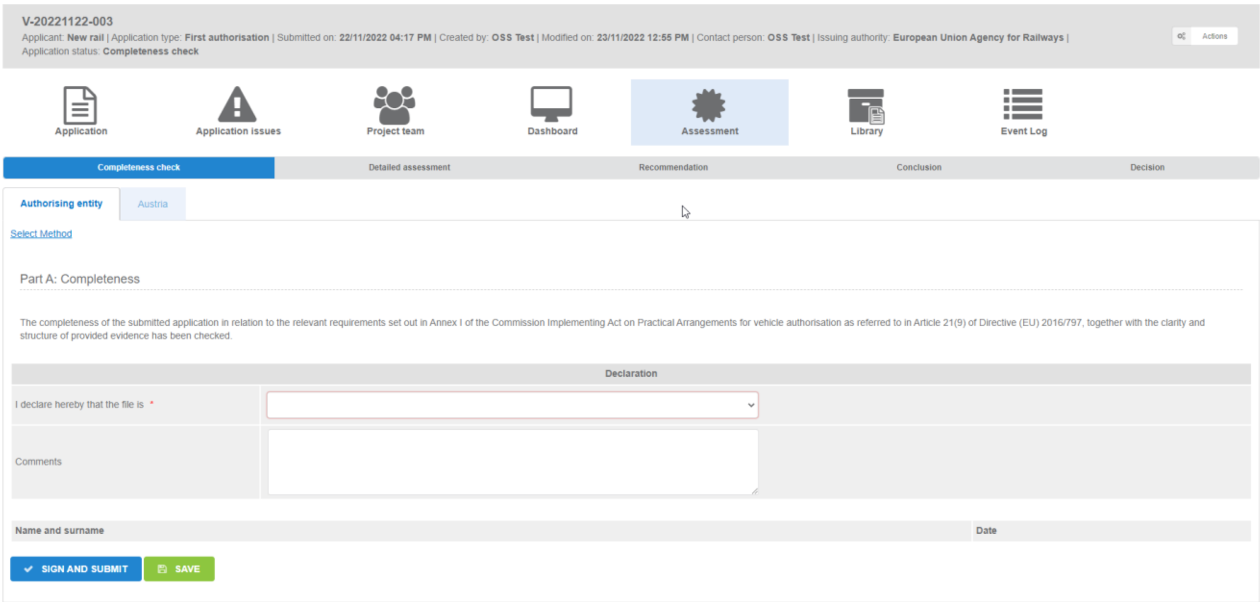



Figure 94: Completeness check web form (VA)

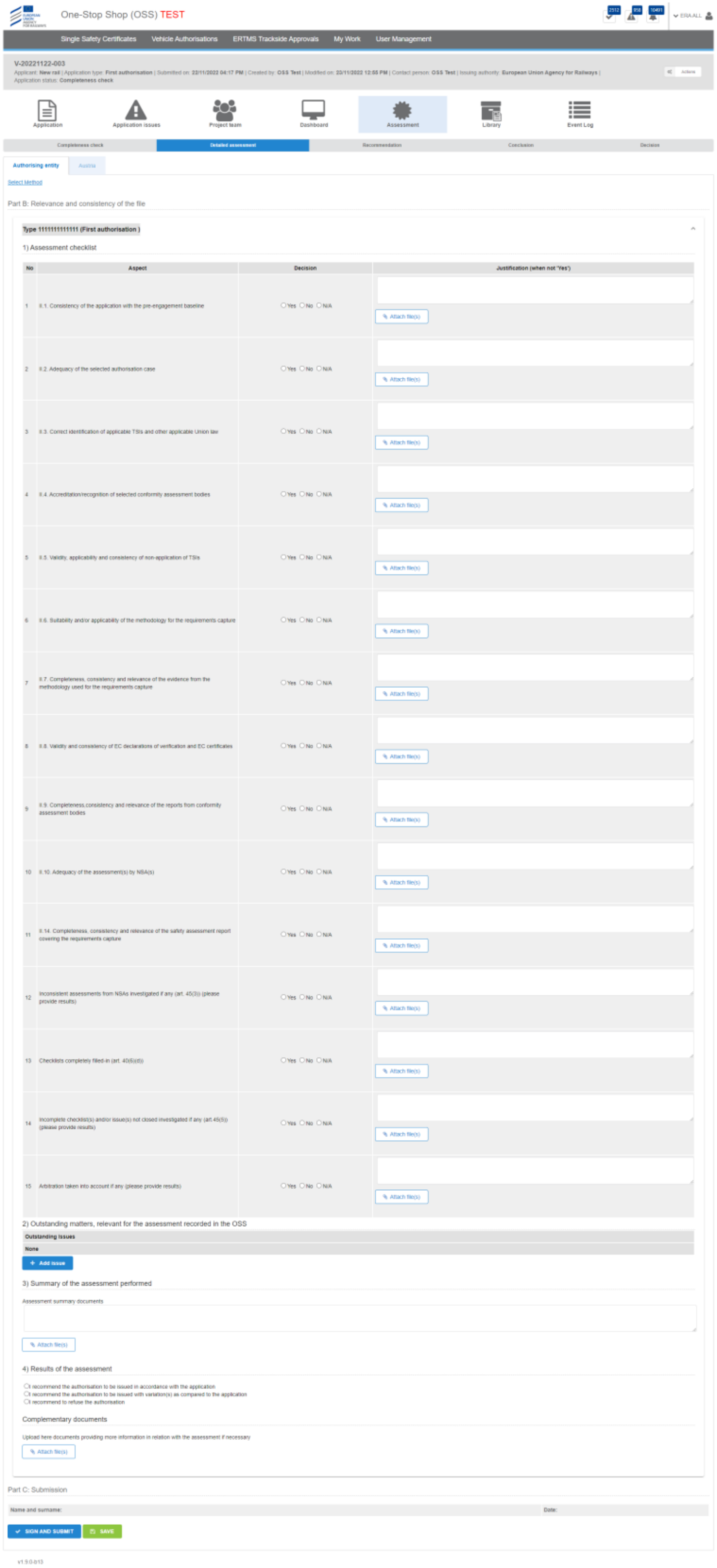


Figure 95: Detailed assessment web form (VA)

In the Completeness check report, the field “I declare hereby that the file is” is mandatory. It is only possible to add issues appears when the option “Incomplete” or “Fundamentally deficient” is selected as shown in Figure 96. The issues appearing are issues created by the Assessor belonging to the same organisation.

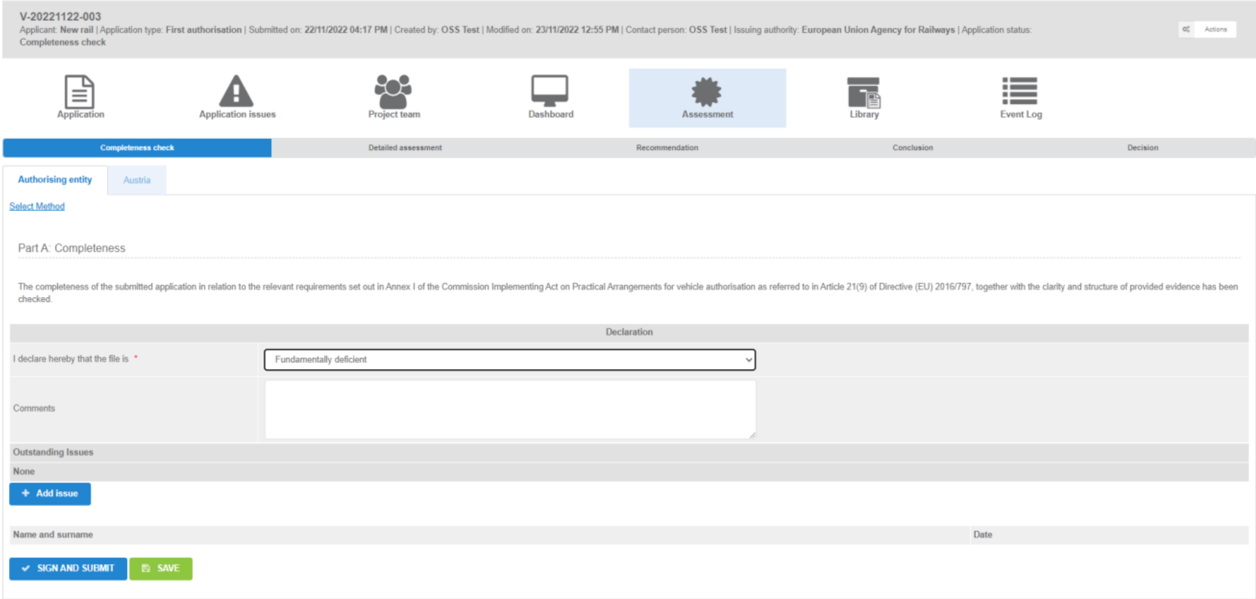



Figure 96: Completeness check report - Add issue from the issue log (VA)

In the Detailed assessment report, it is only possible to add issues appears when the option "I recommend to refuse the authorisation" is selected as shown in Figure 97. The issues appearing are issues created by the Assessor belonging to the same organisation.

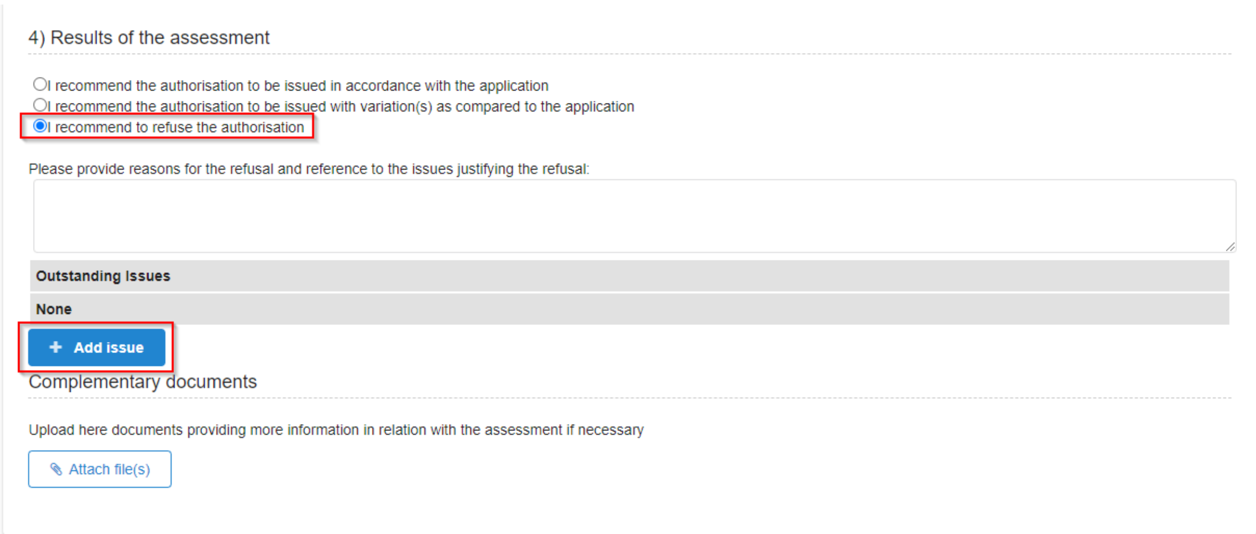



Figure 97: Detailed Assessment report (VA)

If the Assessor presses the "Add issue" button, the system prompts a modal window displaying the list of the issues from the issue log and allowing for selecting any of them. More details for attach file(s) can be found in section 8.3

The Assessor can also, upload/ attach any files needed for the report by clicking the "Attach files" button. More details for attach file(s) can be found in section 8.1

To save the report, the Assessor clicks on "Save" button, as show in Figure 61 and can continue updating the report.

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

For all the required 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, by highlighting it in red, and displays the red alert icon. If the user leaves empty required fields, then the system allows it to click on the "Save" button but the submission is not possible.

After checking the content of the report, the Assessor clicks on "Sign and Submit" button (see Figure 67).

If the Assessor clicks on "Sign and Submit" button, the system prompts a new modal window as shown in Figure 51. The Assessor can select the language in which the Recommendation report is to be issued (i.e. exported in PDF format and stored in the application library). It downloads the report in PDF format in order to (print and) sign it and then uploads the signed copy of the report by choosing a file or drag and drop. Finally, it presses the "Submit" button. The report is then submitted, and no other changes can be made.

For VA CTT applications, the Preview and Sign option is available. When the Assessor selects this option and clicks on the "Sign and Submit" button, the system displays a modal window, as shown in the corresponding figure.

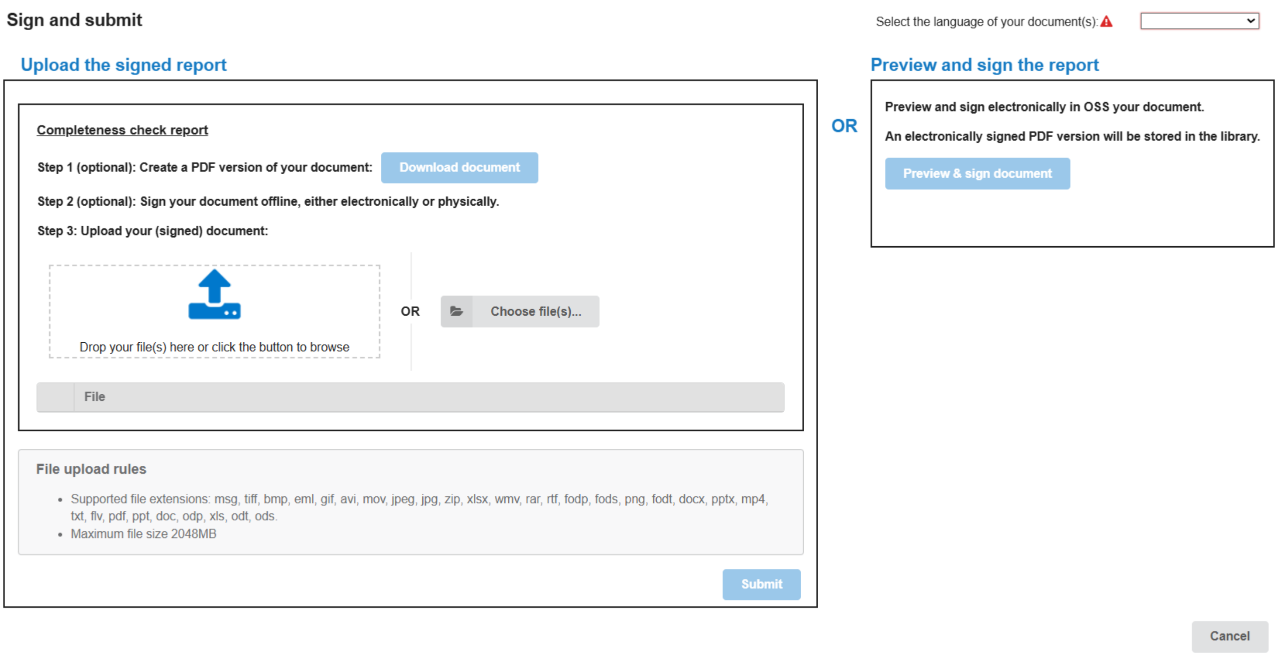



Figure 98: VA CTT Sign and Submit modal window

The Assessor selects the language in which the report is to be issued and previews the automatically generated PDF report.


Figure 99: Preview & sing document Button

The report is reviewed and signed directly within OSS, without downloading any file. Once the signature is applied, the Project Manager presses the “Submit” button.

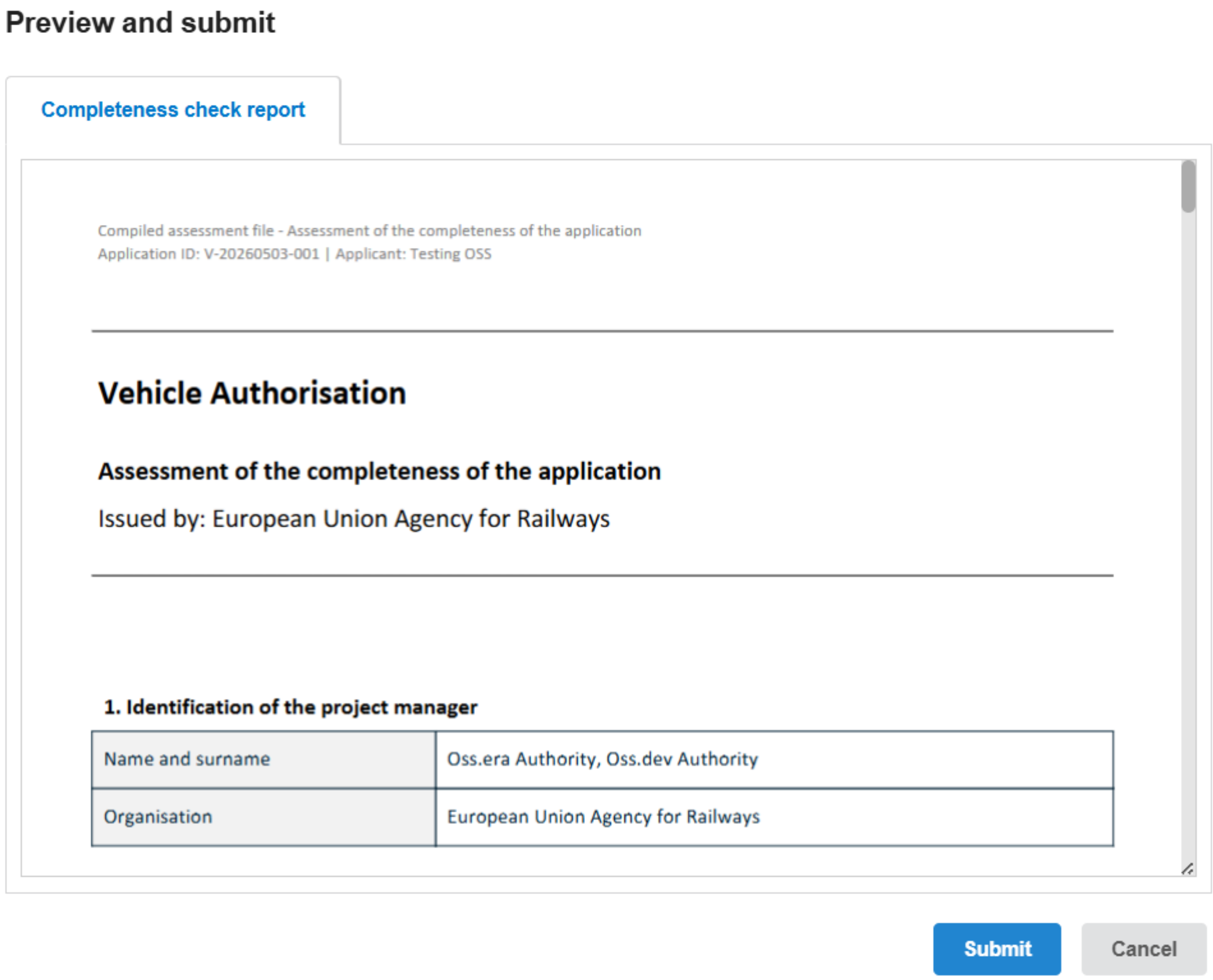



Figure 100: Preview and submit

The report is then submitted, and no further changes can be made. The signed PDF report with the OSS signature is automatically stored in the OSS library.

A confirmation message is displayed upon successful submission. The system notifies the Project Manager and the Assuror unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The report is stored in the “Assessment reports” folder of the “Assessment file” parent folder in the application library.

#### *4.4.3. Submit Detailed assessment report for Subsequent applications (VA)*

When performing “Detailed assessment” in Conformity to type applications, it is possible to select the option “Yes/No” in the field “Subsequent application” as shown in Figure 101.

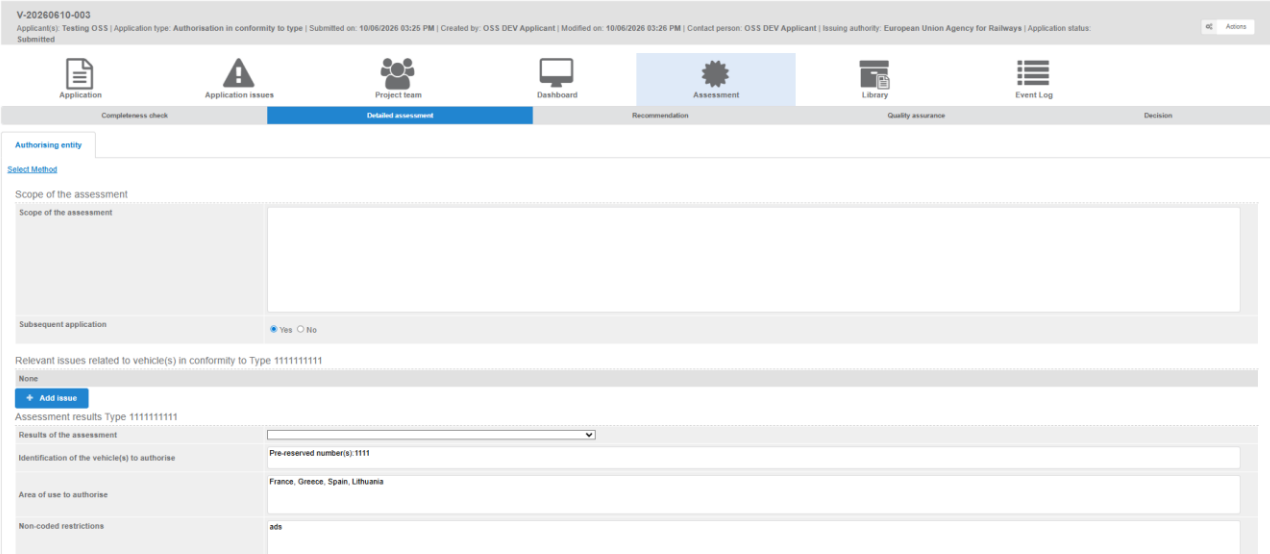



Figure 101: Select Subsequent application

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 can also be described.

#### *4.4.4. Submit preliminary verification of completeness and detailed verification of completeness reports (TA)*

The online (i.e. fill in the web form) method is the only one available. The system displays a web form as shown in Figure 102 for the preliminary verification of completeness or in Figure 103 for the detailed verification of completeness.

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

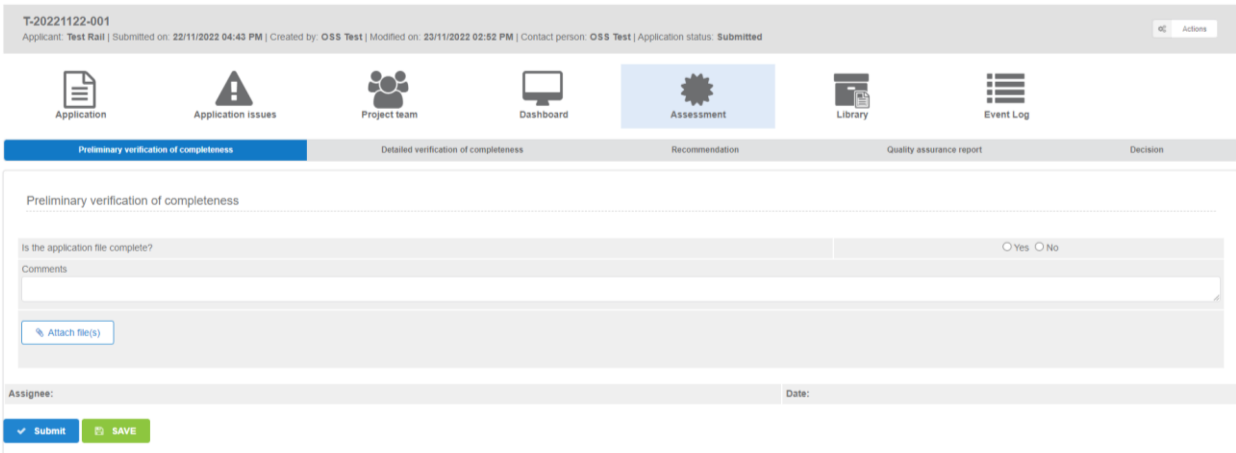



Figure 102: Preliminary verification of completeness form (TA)

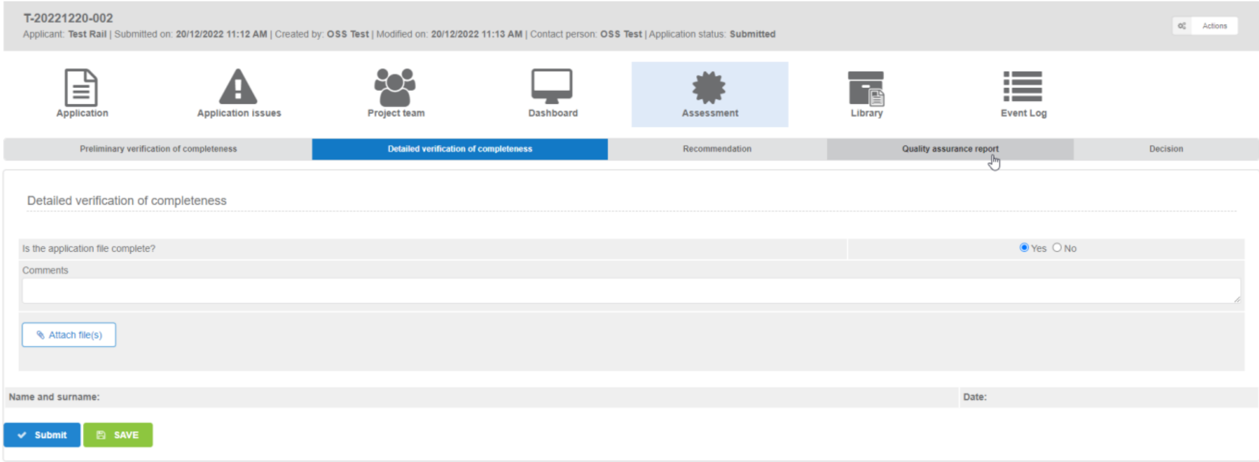



Figure 103: Detailed Completeness verification form (TA)

The Assessor can also, upload/ attach any files needed for the report by clicking the “Attach files” button. More details for attach file(s) can be found in section 8.1

To save the report, the Assessor clicks on “Save” button, as show in Figure 61 and can continue updating the report.

If there is unsaved information, a warning message is displayed to the user, as shown in Figure 62, about loss of unsaved information.

For all the required 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, by highlighting it in red, and displays the red alert icon. If the user leaves empty required fields, then the system allows it to click on the “Save” button but the submission is not possible.

After checking the content of the report, the Assessor clicks on “Submit” button (see Figure 67).

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

A confirmation message is displayed upon successful submission. The system notifies the Project Manager and the Assuror unless the notification has been deactivated (see section 2.4.1). The status of the application switches to "Decision".

The report is stored in the “preliminary verification of completeness” or “detailed verification of completeness” folder of the “Assessment file” parent folder in the application library.

## 4.5. Tasks for Assurors (AR)

An Assuror is responsible to check that the process is correctly applied and issues the Quality assurance report.

Initially the Assuror receives a notification on allocation to the application (unless the notification is deactivated in its user profile). At the same time, the Task about the submission of the reports has been opened in “My Work” section as shown in Figure 26. An alternative way to submit the reports is through the “Assessment” tab.

### *4.5.1. Submit Quality assurance report (SSC)*

The same approach than for the other reports applies, see section 4.4 for more details.

#### 4.5.2. *Submit Quality assurance report (VA)*

The same approach than for the other reports applies, see section 4.4 for more details.

#### 4.5.3. *Submit quality assurance report (TA)*

The same approach than for the other reports applies, see section 4.4.4 for more details.

### 4.6. Tasks for Decision Makers (DM)

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

Initially the Decision Maker receives a notification on allocation to the application (unless the notification is deactivated in its user profile). At the same time, the Task about the submission of the reports has been opened in "My Work" section as shown in Figure 26. An alternative way to submit the reports is through the "Assessment" tab.

#### 4.6.1. *Submit decision (SSC)*

The Decision Maker has access and can edit the Cover Letter and the Single Safety Certificate if one is to be issued.

The Recommendation report submitted by the Project Manager cannot be edited by the Decision Maker although it forms part of the decision.

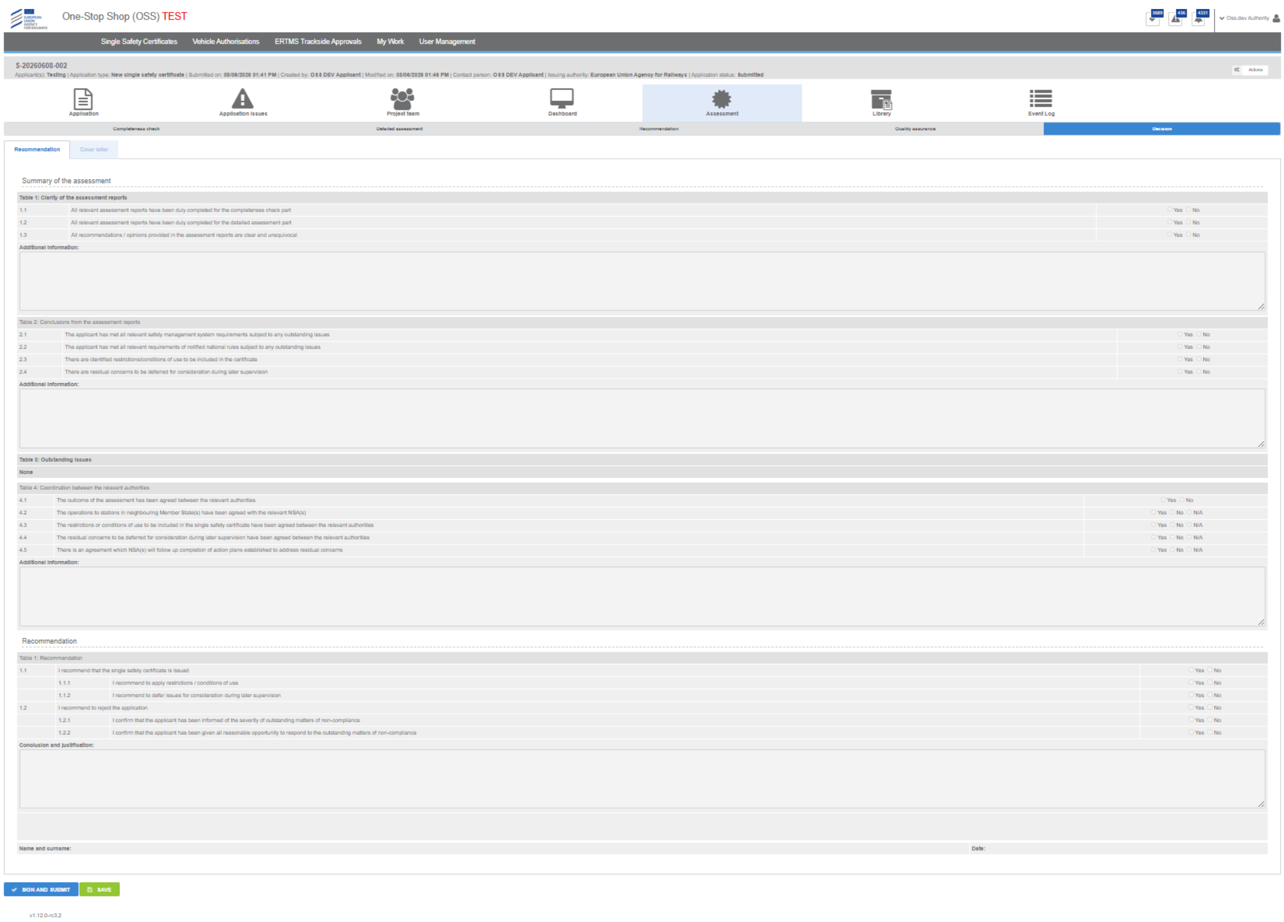



Figure 104: Decision report (SSC)

In the case where the Recommendation report and/or the Quality Assurance report need update, the Decision Maker clicks on the “Request update” button (see Figure 79) under the “Recommendation” tab and/or “Quality Assurance” tab from the “Assessment” tab. The Project Manager can in turn request an update of the relevant reports (see section 4.3.7).

The Cover letter is automatically generated based on the language selected by the Applicant in its application and can be edited by the Project Manager before its submission to the Decision Maker. The Decision Maker can also edit it as shown in Figure 105.

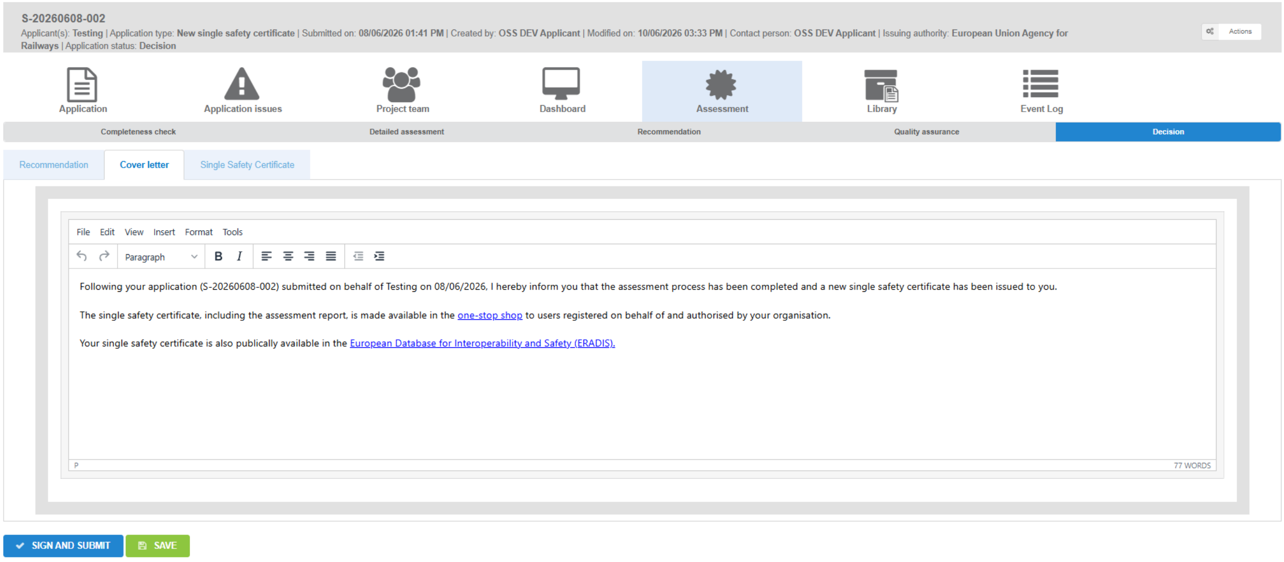



Figure 105: Decision cover letter (SSC)

The Single Safety Certificate is already filled in with information introduced by the Project Manager but can also be edited by the Decision Maker (see section 4.3.1 for more details).

After checking the content of the decision, the Decision Maker presses the “Sign and Submit” button. The system prompts a pop-up window as shown in Figure 106. The user is requested to first download the cover letter and Single Safety certificate (if any) and then to sign and upload them in the relevant part by choosing a file or drag and drop. Once done, the user presses the button “Submit”.

After the submission, a notification message upon successful submission is displayed and the status of the application is changed to “Completed”.

If the decision needs update after submission, the Decision Maker can always request its update (see section 4.6.5 for more details).

The Decision Maker is invited to check that the Single Safety Certificate (if any) is published in ERADIS. In case of problems, the steps described in section 4.6.5 must be followed.

The system stores all information in the application library in the “Decision” folder under the “Assessment file” parent folder and notifies the Applicant, the involved PgMs and all assessment team members of the decision.

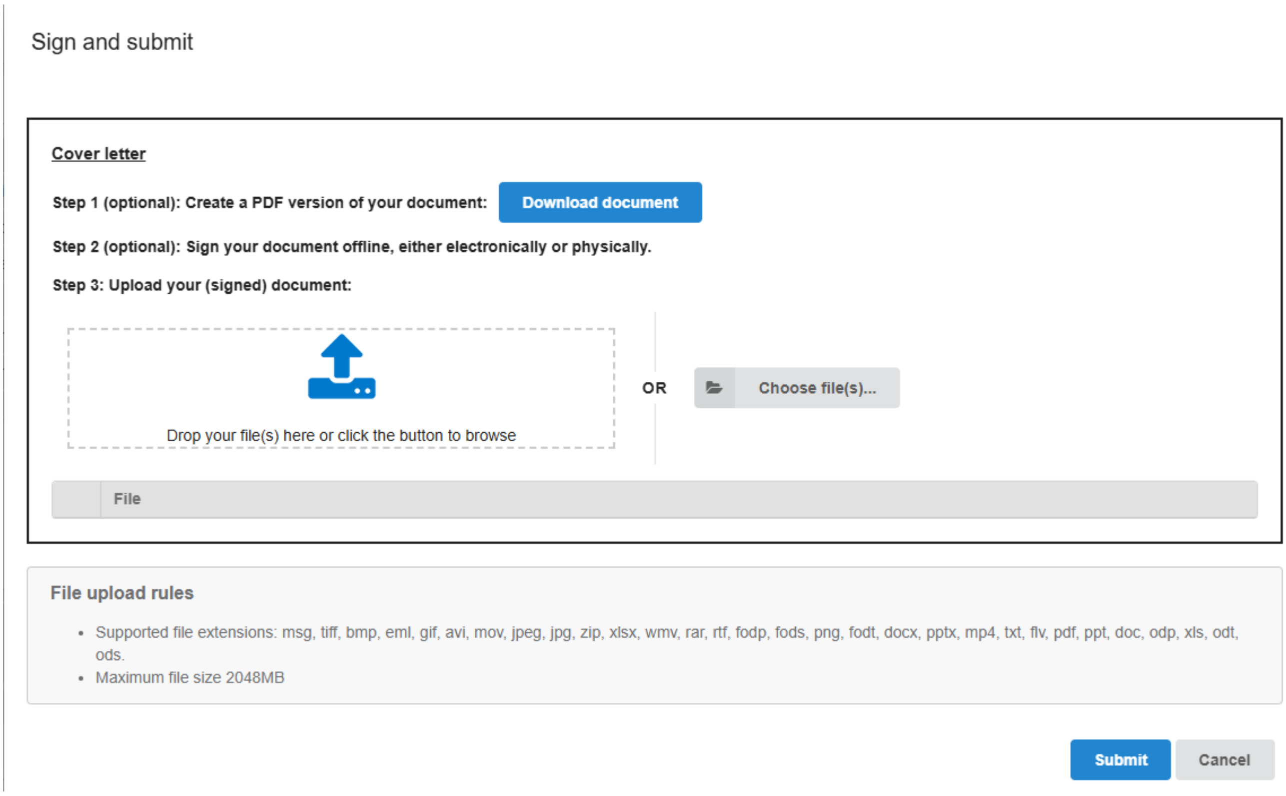



Figure 106: Sign and Submit pop-up window for Decision (SSC)

#### *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 Applicant dynamically builds its content. Each of the sections, as described below, actually corresponds to a Vehicle Authorisation, but at the same time is part of a combined application. At the end of the process, the decision could have different outcomes.

Also, the VA cases include two tasks for the Decision Maker: one for issuing the Decision report and another one for issuing the Authorisation report.

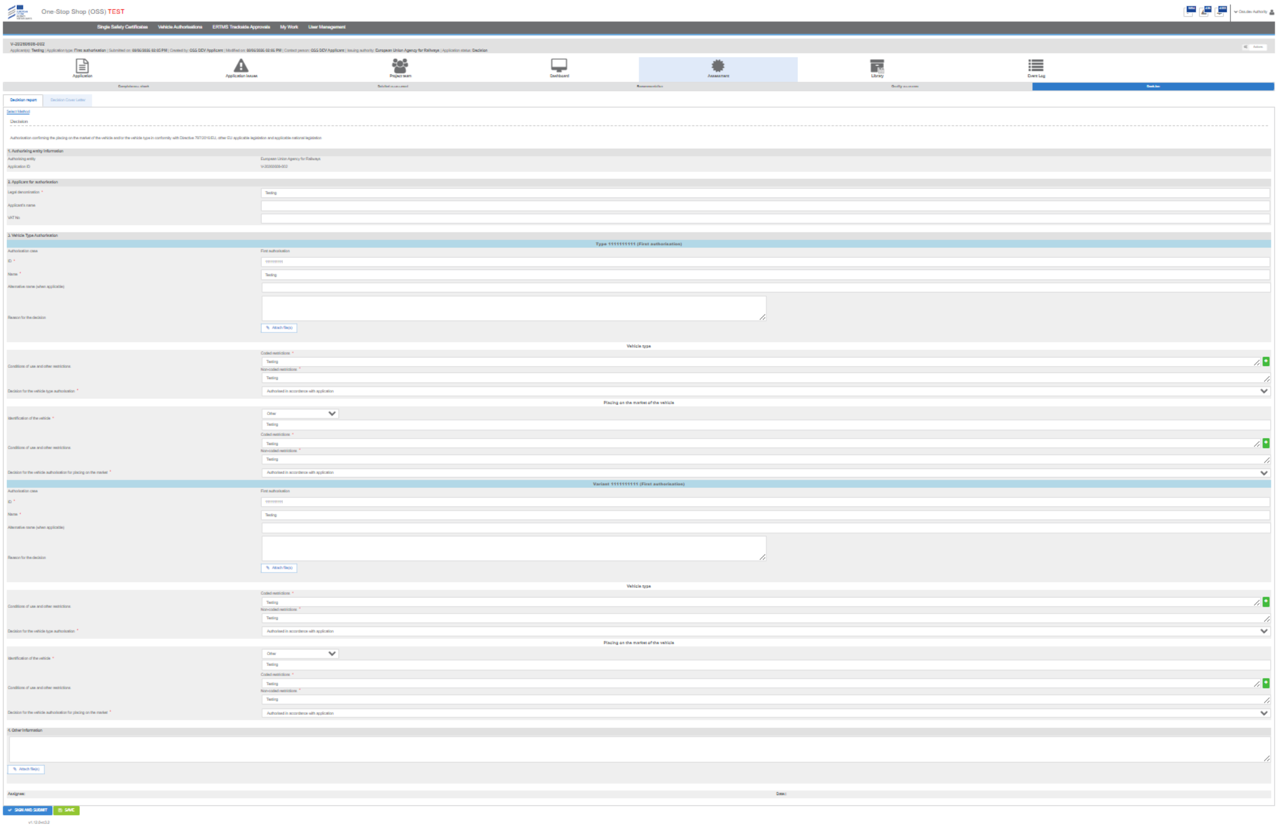


Figure 107: Decision report (VA)

The Decision report is already filled in with the information of the Recommendation Report submitted by the Project Manager. The report is however editable, and the Decision Maker can update fields and/or attach any documents.

The Cover letter is automatically generated based on the language selected by the Applicant in its application and can be edited by the Project Manager before its submission to the Decision Maker. The Decision Maker can also edit it as shown in Figure 108.

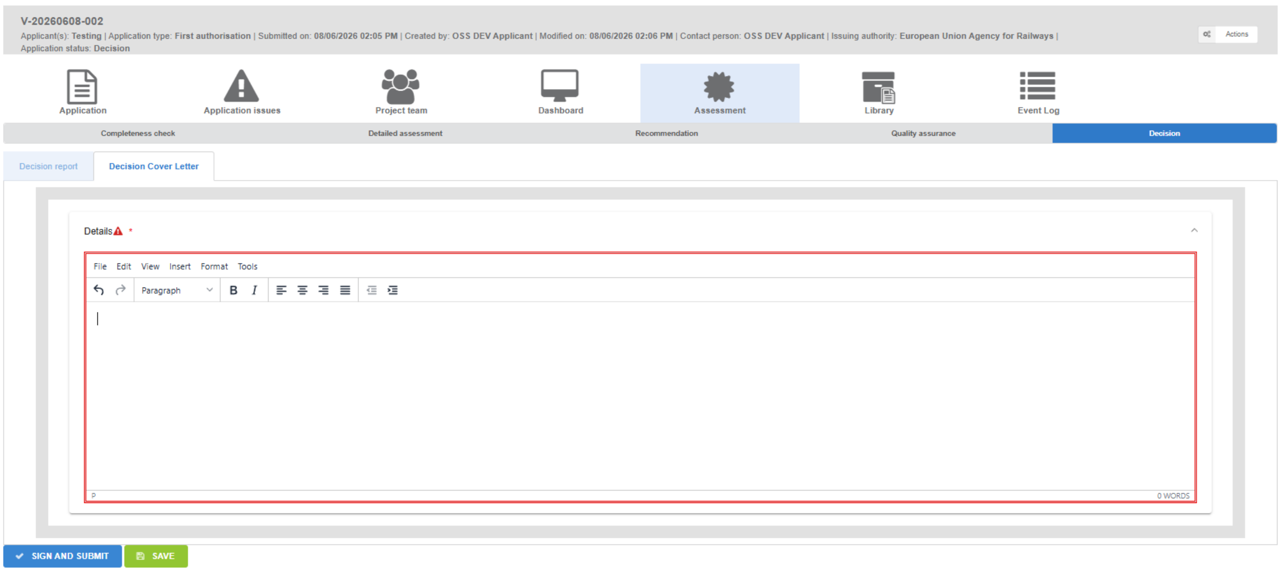



Figure 108: Decision cover letter (VA)

In the case where the Recommendation report and/or the Quality Assurance report need update, the Decision Maker clicks on the “Request update” button (see Figure 79) under the “Recommendation” tab and/or “Quality Assurance” tab from the “Assessment” tab. The Project Manager can in turn request an update of the relevant reports (see section 4.3.7).

After checking the content of the decision, the Decision Maker presses the “Sign and Submit” button. The system prompts a pop-up window as shown in Figure 109. The user is requested to first download the cover letter and the Decision report and then to sign and upload them in the relevant part by choosing a file or drag and drop. Once done, the user presses the button “Submit”.

If the decision needs update after submission, the Decision Maker can always request its update (see section 4.6.5 for more details).

After the submission, a notification message upon successful submission is displayed and the status of the application is changed to “Completed”.

The system stores all information in the application library in the “Decision” folder under the “Assessment file” parent folder and notifies the Applicant, the involved PgMs and all assessment team members of the decision.

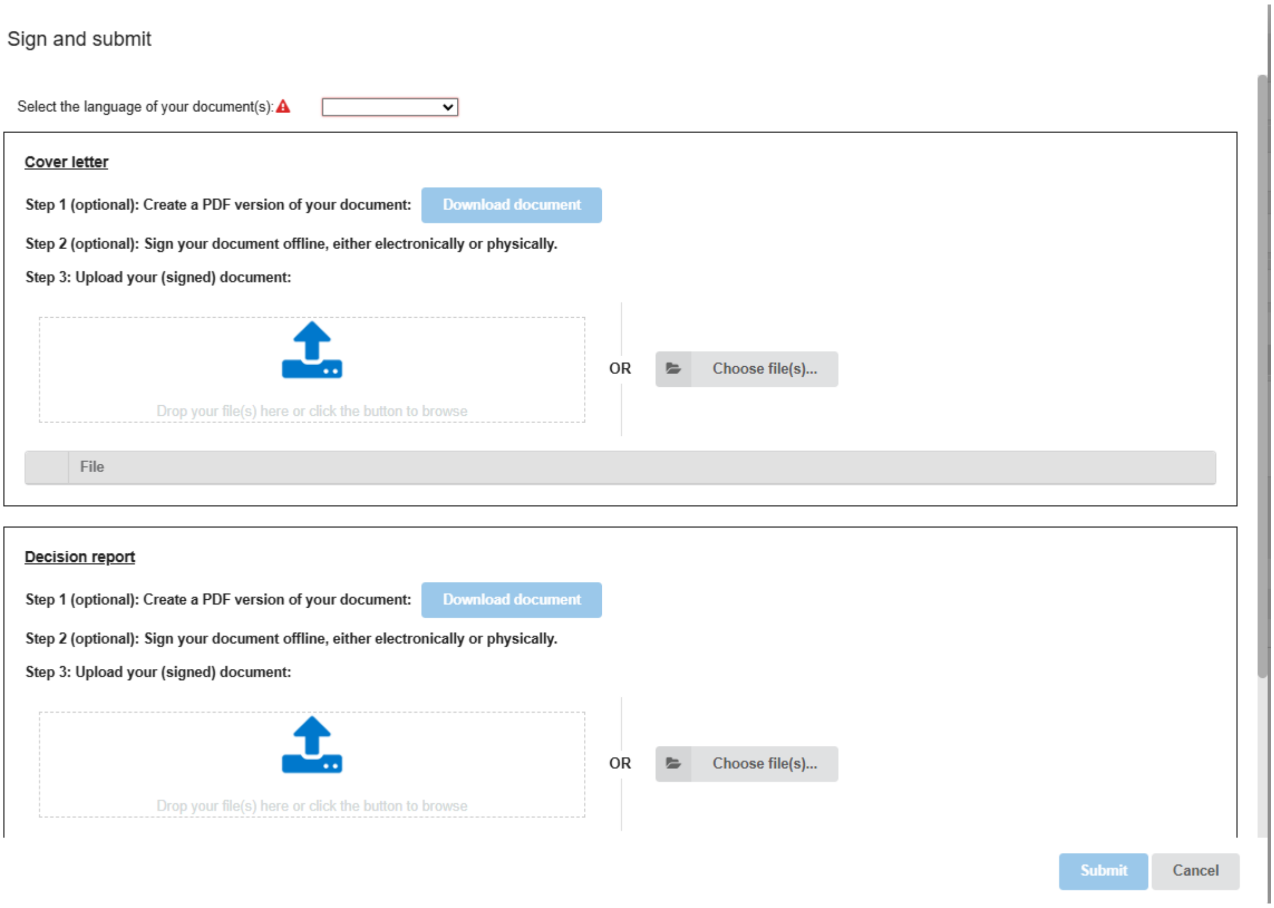



Figure 109: Sign and Submit pop-up window for Decision (VA)

### 4.6.3. *Submit VA autorisation report (VA)*

After submission of the Decision report, the “Authorisation report” and “Authorisation report cover letter” tabs appear, as shown in Figure 110.

**The "Authorisation report" tab is however not visible if in the Decision report 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 it to click only on "Save" button. The submission is not possible.

The Decision Maker prepares and submits the Authorisation Report and the respective cover letter.

The same approach than for the Decision report applies, see section 4.6.2 for more details.

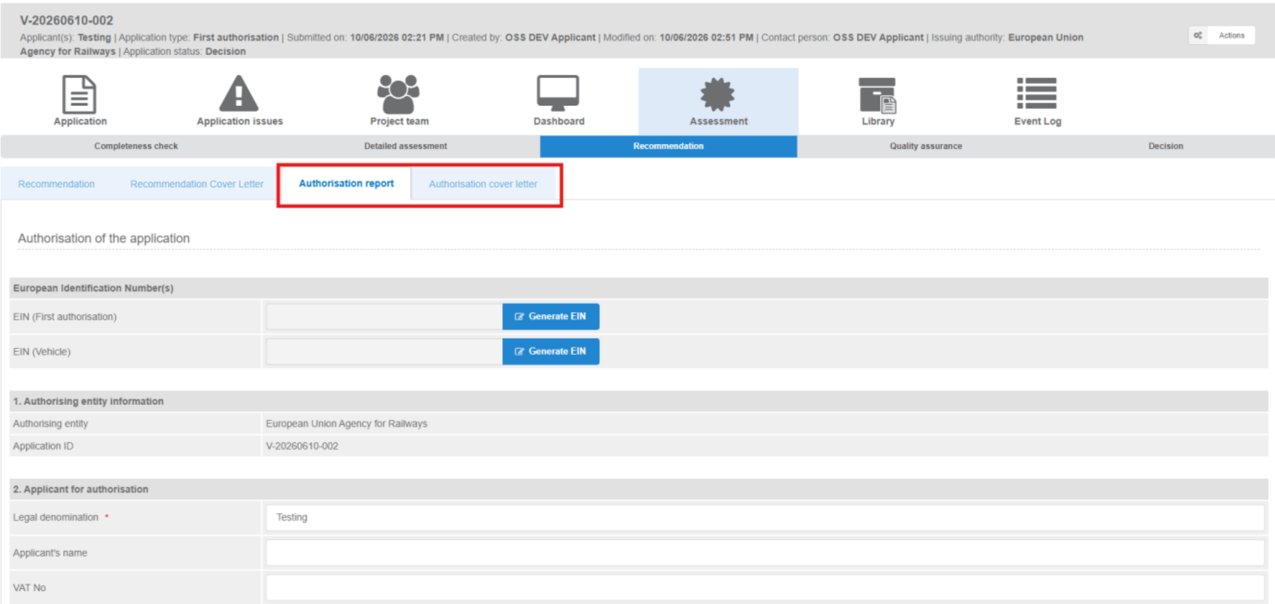



Figure 110: Authorisation Report and Cover Letter (VA)

### 4.6.4. *Submit decision (TA)*

The Decision Maker has access and can edit the Decision report and the Cover Letter.

The report is already pre-filled in with Applicant's information and relevant Recommendation report details.

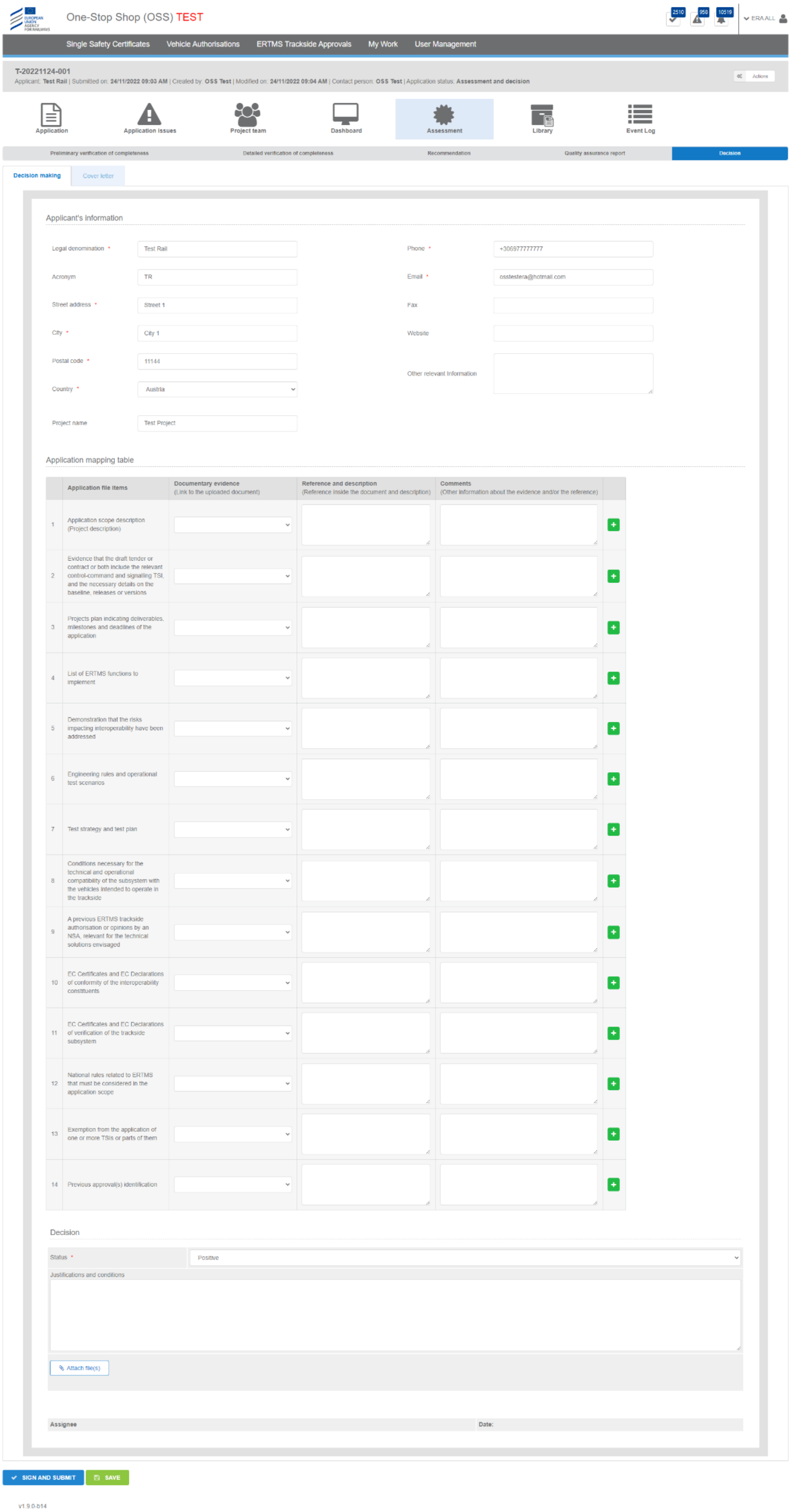


Figure 111: Decision report (TA)

The Cover letter is automatically generated based on the language selected by the Applicant in its application and can be edited by the Project Manager before its submission to the Decision Maker. The Decision Maker can also edit it as shown in Figure 112.

In the case where the Recommendation report and/or the Quality Assurance report need update, the Decision Maker clicks on the “Request update” button (see Figure 79) under the “Recommendation” tab and/or “Quality Assurance” tab from the “Assessment” tab. The Project Manager can in turn request an update of the relevant reports (see section 4.3.7).

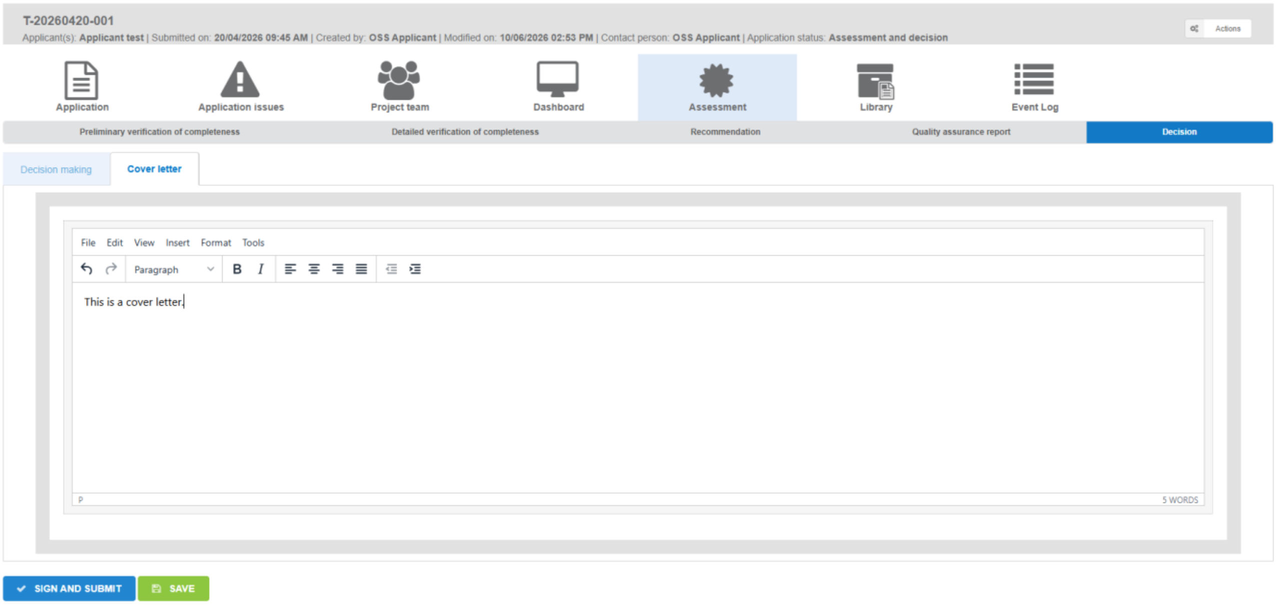



Figure 112: Decision cover letter (TA)

After checking the content of the decision, the Decision Maker presses the “Sign and Submit” button. The system prompts a pop-up window as shown in Figure 113. The user is requested to first download the cover letter and Decision report and then to sign and upload them in the relevant part by choosing a file or drag and drop. Once done, the user presses the button “Submit”.

After the submission, a notification message upon successful submission is displayed and the status of the application is changed to “Completed”.

If the decision needs update after submission, the Decision Maker can always request its update (see section 4.6.5 for more details).

The system stores all information in the application library in the “Decision” folder under the “Assessment file” parent folder and notifies the Applicant, the involved PgMs and all assessment team members of the decision.

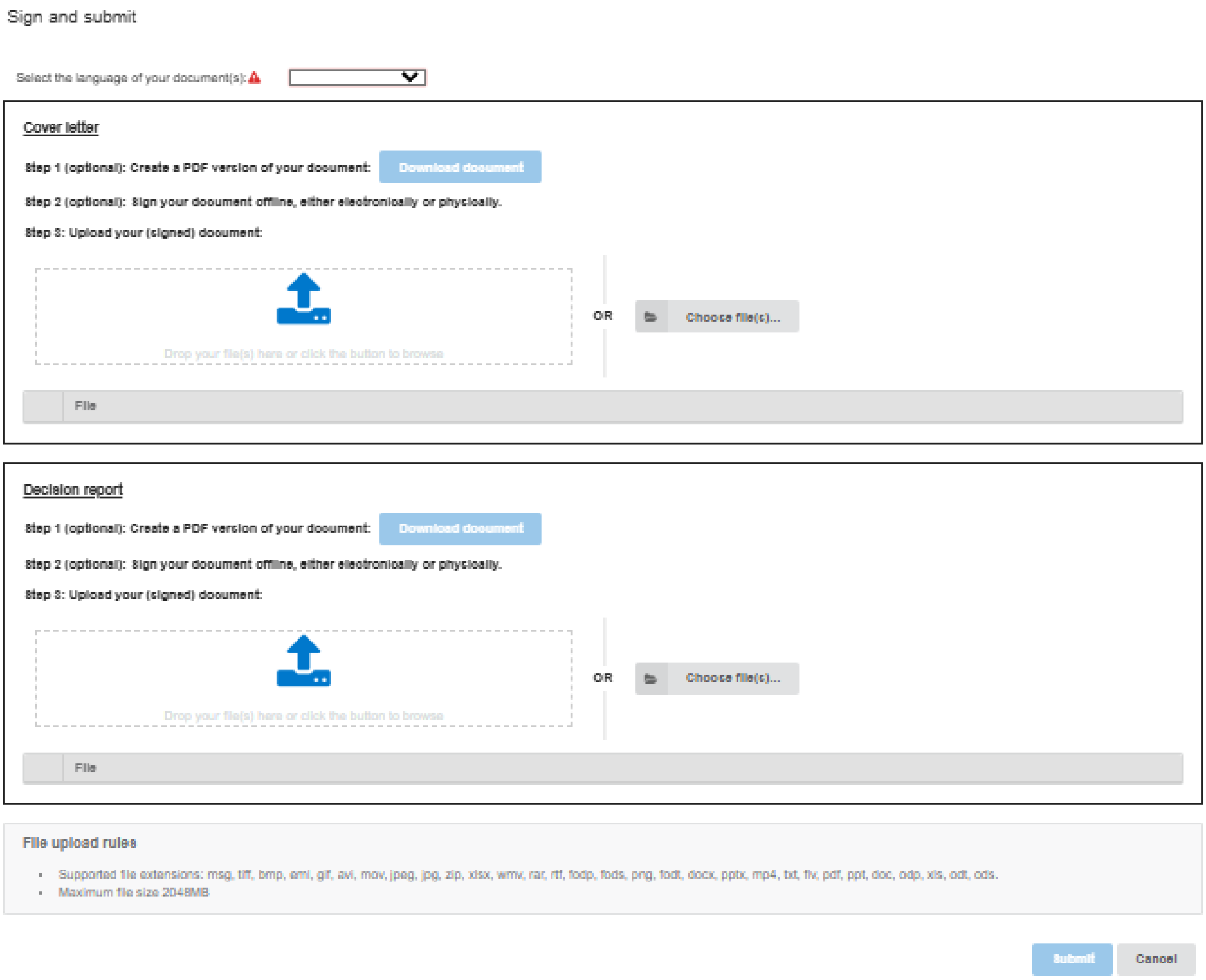



Figure 113: Sign and Submit pop-up window for Decision (TA)

### *4.6.5. Request update of the decision*

After the submission of the decision, the Decision Maker may conclude that there are parts of it that need update.

The Decision Maker can then request an update of the decision from the Decision page, by clicking on the “Request Update” button, as shown in Figure 79. It can then perform the changes itself except for the Recommendation report and/or the Quality Assurance report which can only be updated by the Project Manager and Assuror respectively.

In the case where the Recommendation report and/or the Quality Assurance report need update, the Decision Maker clicks on the “Request update” button (see (Figure 79) under the “Recommendation” tab and/or “Quality Assurance” tab from the “Assessment” tab.

The Project Manager can in turn request an update of the relevant reports (see section 4.3.7).

After this process, a task is open to re-submit the relevant report and the system notifies the relevant users depending on their assigned roles (unless the notification is deactivated in their respective user profile). The relevant task is open for the Project Manager (PM) or the Assuror (AR) in order to re-submit the report.

In the case where an administrative update of the Single Safety Certificate is required (e.g. to correct clerical errors), the Decision Maker or Project Manager as appropriate is invited to amend the Single Safety Certificate as follows:

- Change the field 1.2 'Type of the certificate' to "Update".
- Fill in the field 1.3 'EIN of the previous certificate' with the EIN of the Single Safety Certificate that is active in ERADIS so that when the Decision is made the previously published Single Safety Certificate is invalidated.
- Check the field 1.4 'start/end validity date' of the new Single Safety Certificate (especially if the Decision is not taken the same day as the previous one); The start date may have to be adapted to the new decision date.
- Click on "Sign and Submit" button at the bottom of the Decision page and download/upload the new Single Safety Certificate with signature/stamp and the decision letter (be careful to check that the latter does not refer to previous Single Safety Certificate); If the default OSS letter is used, you can reuse in principle the same than before.

Having done the above a file note can be added by the Decision Maker or Project Manager as appropriate in the application library in the "Formal communication" folder (under the parent folder "Assessment file") to provide the reasons for this update.

#### *4.6.6. Cancel request update of the decision*

After a Decision Maker has requested an update of the decision, the system now allows the Decision Maker to cancel this request. Once the update request has been submitted, the "Request update" button enters a loading state and becomes disabled while the "Cancel requested update" button becomes available as shown in Figure 80. By selecting this option, the DM can withdraw the previously submitted update request, upon which the system displays a confirmation message indicating that the request has been cancelled and re-enables the "Request update" button. This functionality enhances user control and ensures that update actions can be reversed when no longer needed.

## 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. Issues

Issues support communication for: – Indicating problems in the application file, created by the assessment team (Assessment Issue) – Contacting the assessment team through the PM (Communication Issue) – Exchanging information between the assessment team members (Internal Issue).

The main access rights on the issues are shown in Figure 114.

| | Role | Issue status | | | | | Actions | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Draft | Pending | Responded | Closed | Comments | Reopen | Close | Submit | RIR |
| Issue created by the assessment team | Programme Manager (PgM) | R | R | R | R | - | - | - | - | - |
| | Project Manager (PM) | RW | RW | RW | R | X | X | X | X | - |
| | Assessors beloging to the same Authority as Creator (AS) | RW | RW | RW | R | X | X | X | - | - |
| | Assessors - any other ERA/NSA (AS) | R | R | R | R | X | - | - | - | - |
| | Assessor | R | R | R | R | X | - | - | - | - |
| | Quality Assurance (AR) | R | R | R | R | - | - | - | - | - |
| | Decision Maker (DM) | R | R | R | R | - | - | - | - | - |
| | Creator | RW | RW | RW | R | X | X | X | X | - |
| | Asignee (Assessment team) | R | R | R | R | X | - | - | - | - |
| | Asignee (Applicant) (AP) | - | R | R | R | X | - | - | - | X |
| | Observer (OB) | - | R | R | R | - | - | - | - | - |
| | FAO (FO) | - | R | R | R | - | - | - | - | - |
| Issue created by applicant | Applicant (AP) | RW (BR 3) | R | - | R | X | - | X | X | - |
| | Project Manager (PM) | - | R | - | R | X | - | X | - | - |
| | Programme Manager (PgM) | - | R | - | R | - | - | - | - | - |
| | Assessors (AS) | - | R | - | R | X | - | - | - | - |
| | Quality Assurance (AR) | - | R | - | R | - | - | - | - | - |
| | Decision Maker (DM) | - | R | - | R | - | - | - | - | - |
| | Observer (OB) | - | R | - | R | - | - | - | - | - |
| | FAO (FO) | - | R | - | R | - | - | - | - | - |

| Business rules | | |
|---|---|---|
| | 1 | After submission of an issue the "Internal" flag cannot be changed. |
| | 2 | After submission of an issue Title and Description are not editable. |
| | 3 | When an applicant is the creator of an issue, only Title and Desciption fields are editable. The assignee is set automatically by OSS to the designated Project Manager(s). After submission only comments are allowed, no other change is possible to the available fields. An applicant can close the issue. |
| | 4 | Sections Issue details, Requirements references and resolution are only editable by the assessment teams and only for issues created by the assessment team. |
| | 5 | The owner can escalate an issue. |
| | 6 | The PM or the owner can de-escalate an issue |
| | 7 | Assessment team is regarded as the assessors of an Authority. |
| | 8 | PgM, DM, AR, FO and OB roles cannot create issues. |
| | 8 | PoE users belonging to Authority and/or NSA will gain the highest access rights of the role they belong to. |

Figure 114: Access rights on Issues

### 5.2. Create Issue

Only Project Manager and Assessors can create an issue to indicate problems in the application file. In this case, a new issue can be created and assigned to the Applicant. The other roles (i.e. PgM, DM, AR, FO and OB) cannot create issues.

The issue may include a reference to parts of an application. By doing so, the Application can be edited after its submission and the Applicant can amend the related parts, including the upload of (new version of) documents. Once the issue is created, both the Applicant and the assessment team are notified about the issue (unless this notification has been deactivated in their respective user profile) and then the Applicant can update its application.

There are two ways to create an issue.

The assessment team clicks on the "Application Issues" tab and then on "Create issue" button as shown in Figure 115, or clicks on the "Application" tab and then on "Create issue" button after selecting the relevant parts of the application to be amended as shown in Figure 116.

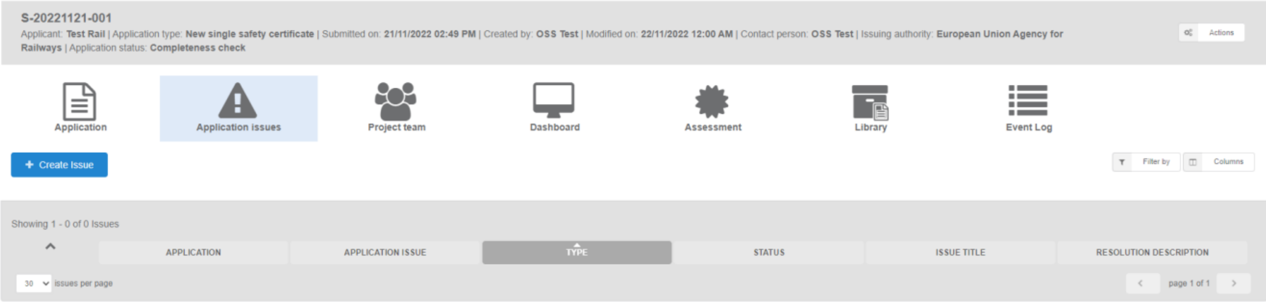



Figure 115: Create issues- Applications issue tab

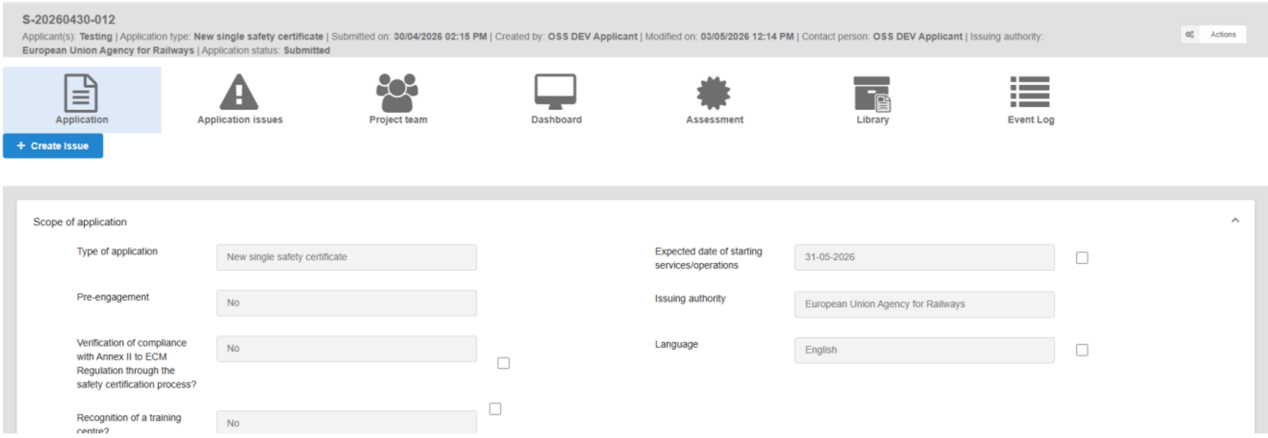



Figure 116: Create issues- Application Page

The issue modal window is prompted as follows.

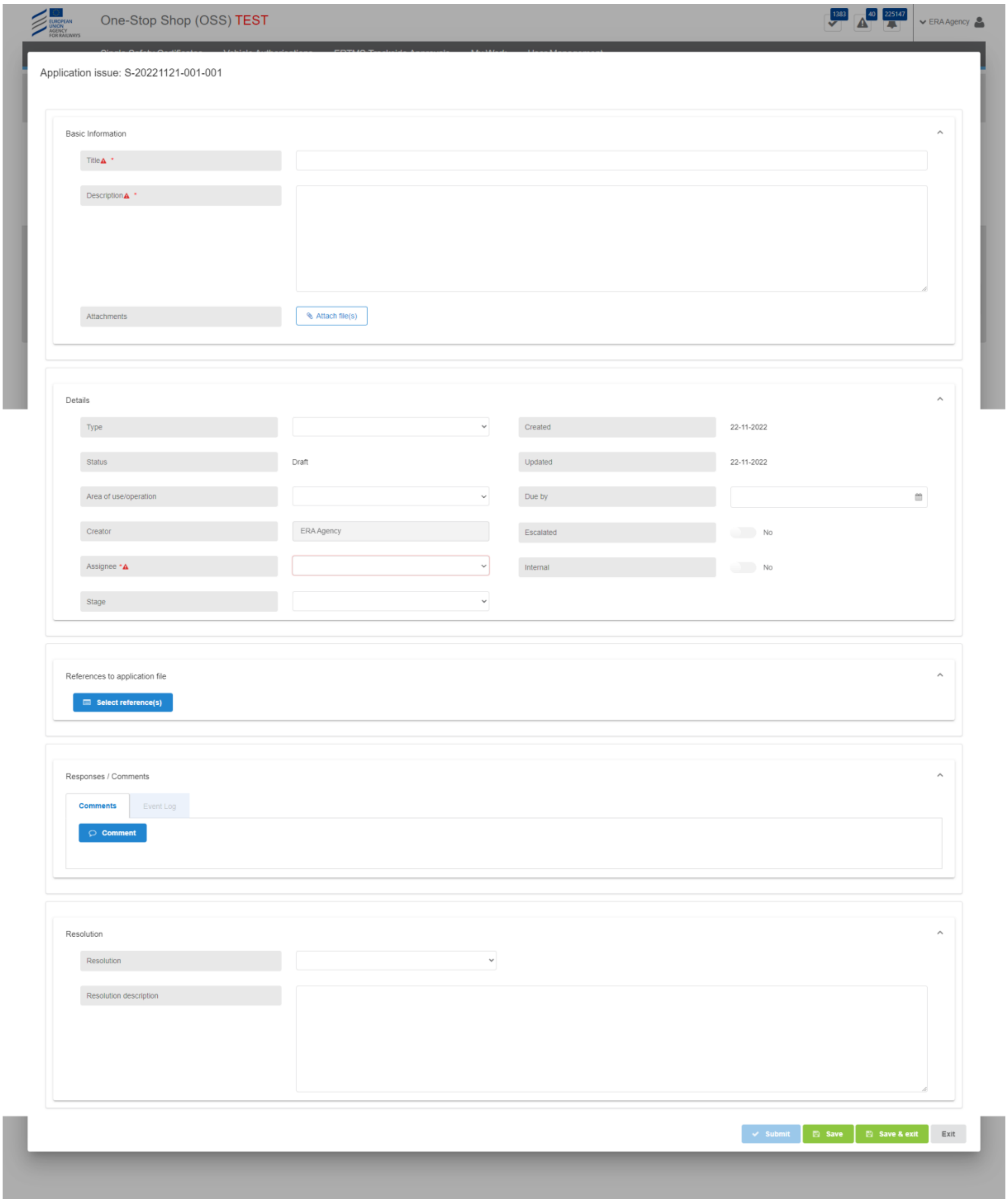



Figure 117: Issue modal window

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 118 and Figure 119.

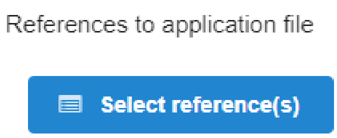



Figure 118: Select reference button

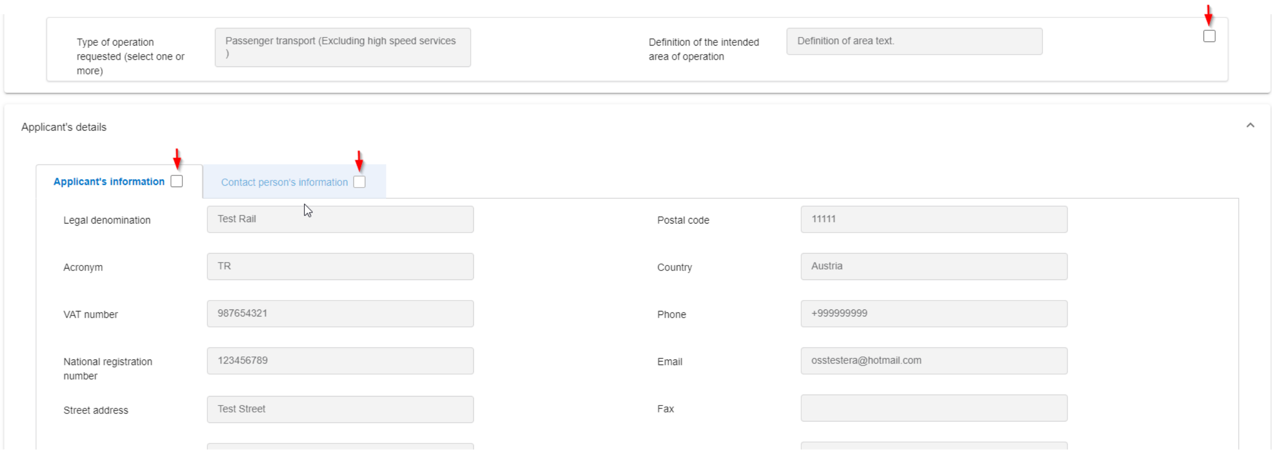



Figure 119: Check boxes for references

The user selects the available check boxes that need further editing by the applicant and selects the "OK" and the "Create issue" modal window is prompted again. The user selects the "Save" button ("draft" status of issue), as show in Figure 61. 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 it would like to include as a reference to the application issue. After the selection of references, 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.

## 5.3. Close Issue

When a suitable response has been provided by the applicant and no residual matter of concern remains, the issue owner provides the resolution description and then can close the issue selecting the "Close issue" button as shown in Figure 120. The Project Manager or an Assessor belonging to the same Authority can also close the issue.

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 120: Close issue button

## 5.4. Reopen Issue

From the "Application" page, it is possible to reopen an issue that was previously closed (i.e. its Status is Closed).

After opening a specific issue, the issue modal window is prompted and either the issue owner, an Assessor belonging to the same Authority or the Project Manager can reopen a closed issue by pressing the "Reopen issue" button, as shown in Figure 121. The issue status then switches to "pending" again.

Specifically, the member of the assessment team 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. Presses the "Submit" button.

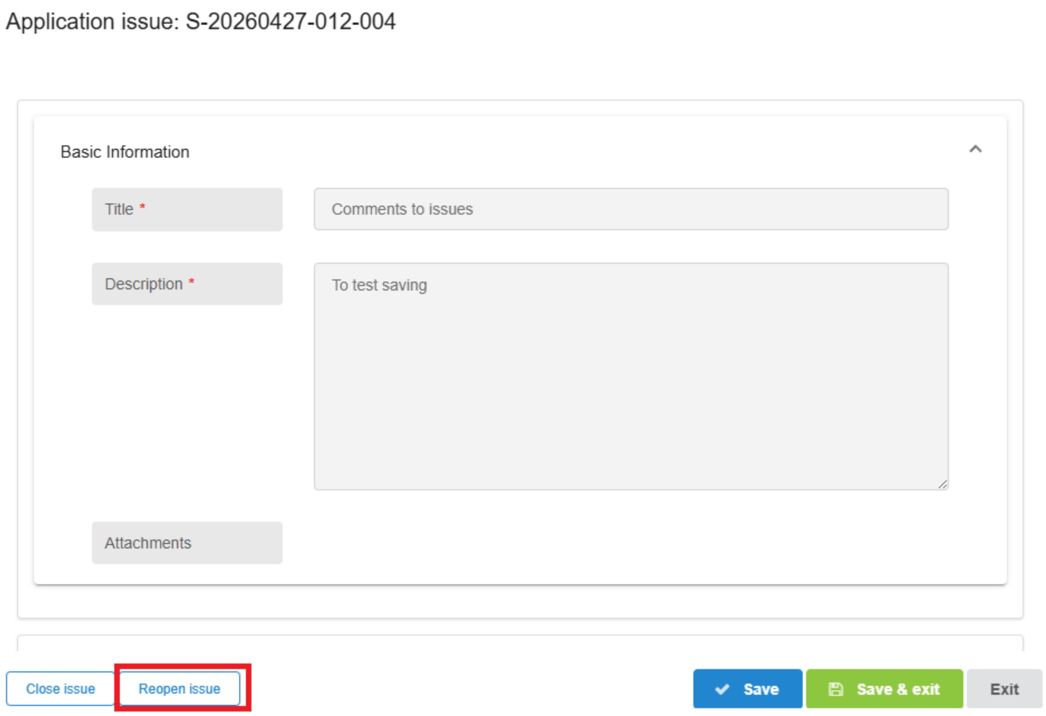



Figure 121: Reopen issue button

### 5.5. Internal issue and escalation

The members of the assessment team can also create an internal issue for communication purposes within and between Authorities.

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" by toggling the "Internal" button.

In this case, the "Assignee" field includes only the assessment team in the dropdown list as shown in Figure 122.

Otherwise, the issue is not internal and the "Assignee" dropdown list also includes the Applicant. In this case the applicant can view this issue if it is assigned to it.

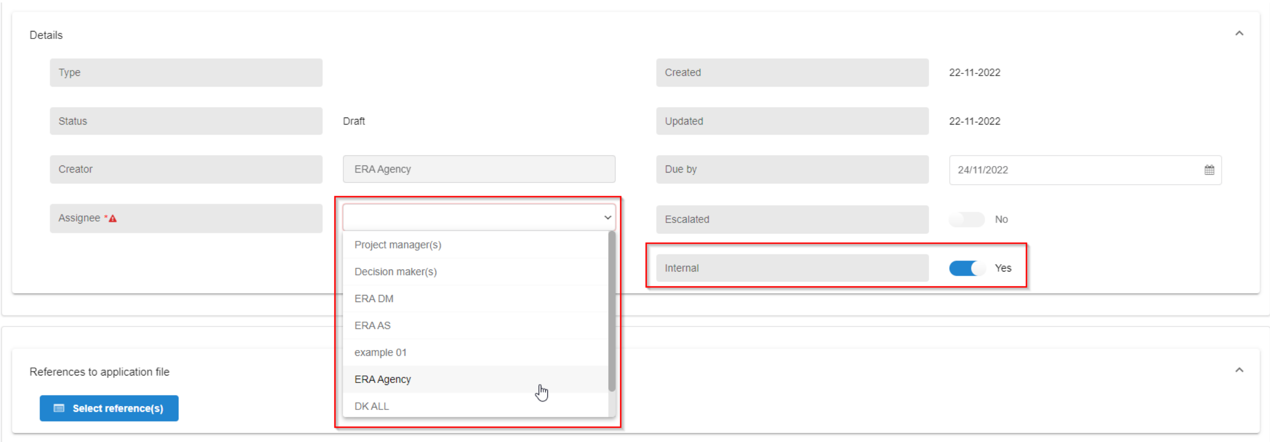



Figure 122: Internal issue option

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 issue creator/owner selects the option to escalate the issue, by activating the “Issue escalated” radio button in the create issue form. The system notifies the issue creator/owner and the Project Manager (unless the notification is deactivated in their respective user profile). Only the issue creator/owner can set an issue to “Escalation”. The system also sends a notification to the assignees about the escalation (unless the notification is deactivated in their respective user profile). The Project Manager or the issue creator/owner can de-escalate an issue.

# 6. Applications Library

## 6.1. Overview

Each application contains a library gathering all relevant documents. Also, some automatically produced documents, like acknowledgement receipts, are also included in the library of each application.

Below the general overview of the “Library” page with its basic functionality.

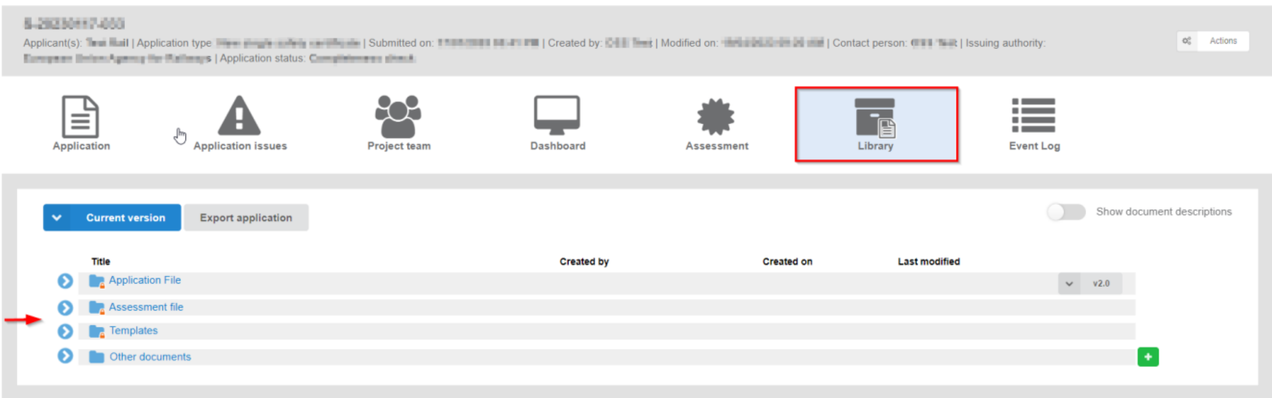



Figure 123: Library overview

The general structure is organized in four parent folders as described in section 3.3.6.

The following section provides the current library structure, organized in folders, and the expected content of each folder per business domain.

## 6.2. Library structure

Access rights to the library folders are dependent on the role. All the assessment team members have read-only access to the full library content. As described in previous sections, specific roles are also able to upload (new version of) documents. The Project Manager is also able to delete documents in specific folders, see section 4.3.13 for more details.

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:<br>• Evidence for SMS and TSI OPE part<br>• Evidence for national part (NSA)<br>• Other | Read-only, no upload/update allowed directly in the library.<br>For each NSA involved one folder is created containing the related with each MS files. |
| | Mapping tables:<br>• SMS and TSI OPE part<br>• National part (NSA) | Read-only, no upload/update allowed directly in the library. |
| **Assessment file** | Assessment reports:<br>• Completeness check report(s)<br>• Detailed assessment report(s)<br>• Quality assurance report | Visible for the assessment team only, upload/update allowed directly in the library.<br>Reports are available for each Authority (ERA, NSA(s)). |
| | Decision | Visible to the assessment team only and to the applicant after a decision is submitted and signed by the Decision Maker, upload/update by the assessment team allowed directly in the library.<br>Contains:<br>• The Recommendation report<br>• The Cover letter<br>• The Single Safety Certificate |
| | Issue log | List of issues registered during the assessment.<br>Each issue under a different folder.<br>When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the assessment team.<br>Upload/update by the assessment 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 assessment team only, upload/update allowed directly in the library.<br>Contains:<br>• Supervision summary form(s) (or equivalent) filled in by the NSA(s).<br>• Minutes of meetings and any supporting documents.<br>• Any opinions of the NSAs following the consultation on border stations/sections. |

<table>
<tr><th>Section</th><th>Folder/Subfolder</th><th>Description</th></tr>
<tr><td></td><td></td><td><ul><li>Any formal disagreements between authorities (e.g. with regard to the content of an assessment report).</li><li>Any request submitted by the applicant before the Board of Appeal, decision of the Board of Appeal following the arbitration procedure.</li><li>Any request submitted by the NSA(s) before the Board of Appeal, findings of the Board of Appeal following the appeal procedure.</li></ul></td></tr>
<tr><td></td><td>Formal communication</td><td>Visible to all, only the assessment team can upload/update documents.<br>Contains:<ul><li>The acknowledgement of receipt of the application (automatically generated).</li><li>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.</li></ul></td></tr>
<tr><td></td><td>Management:<ul><li>Assessment team</li><li>Dashboard</li><li>Warnings</li><li>Events log</li><li>Financial documents</li><li>Lessons Learned</li><li>Other management documents</li></ul></td><td>'Project team' visible to all, upload/update by the assessment team allowed directly in the library.<br>'Dashboard' visible to all, upload/update by the assessment team allowed directly in the library.<br>'Warnings' visible to all, upload/update by the assessment team allowed directly in the library.<br>'Events log' visible to all according to the access rights, upload/update by the assessment team allowed directly in the library.<br>'Financial documents' only visible to the assessment team, upload/update allowed directly in the library. Contains cost estimate (when requested by the applicant).<br>'Lessons Learned' only visible to the assessment team, upload/update allowed directly in the library.<br>'Other management documents' only visible to the assessment 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).</td></tr>
<tr><td>Templates</td><td><ul><li>Assessment report</li><li>Quality assurance report</li><li>Audit and inspection report</li><li>Review report</li></ul></td><td>Visible to all except the applicant, no upload/update allowed directly in the library. One folder per NSA.</td></tr>
</table>

| Section | Folder/Subfolder | Description |
|---|---|---|
| | • Final review report<br>• Cost estimate by NSA<br>• Cost estimate by ERA<br>• NSA statement of costs<br>• Supervision summary form<br>• Timesheet for the PoE | |
| **Other documents** | | Visible to all, upload allowed.<br>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.<br>The exact list differs based on the authorisation type. |
| | Mapping tables:<br>• Authorising entity part<br>• National part (NSA) | Read-only, no upload/update allowed directly in the library. |
| **Assessment file** | Assessment reports:<br>Completeness check report(s)<br>• Conclusion report<br>• Detailed assessment report(s)[2]<br>• Evaluation[3] | Visible for the assessment team only, upload/update allowed directly in the library.<br>Reports are available for each authority (ERA, NSA(s)). |
| | Recommendation | Visible for the assessment team only, upload/update allowed directly in the library.<br>Reports are available for each authority (ERA, NSA(s)).<br>Contains:<br>• Recommendation report<br>• Cover letter |
| | Recommendation Authorisation[4] | Visible for the assessment team only, upload/update allowed directly in the library.<br>Reports are available for each authority (ERA, NSA(s)).<br>Contains:<br>• Recommendation Authorisation report<br>• Cover letter |

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

| Section | Folder/Subfolder | Description |
|---|---|---|
| | Opinion[5] | Visible for the assessment team only, upload/update allowed directly in the library.<br>Reports are available for each authority (ERA, NSA(s)).<br>Contains:<br>• Opinion report<br>• Cover letter |
| | Decision[6] | Visible to the assessment team only and to the applicant after a decision is submitted and signed by the Decision Maker, upload/update by the assessment team allowed directly in the library.<br>Contains:<br>• Decision report<br>• Cover letter |
| | Authorisation[7] | Visible to the assessment team only and to the applicant after a decision is submitted and signed by the Decision Maker, upload/update by the assessment team allowed directly in the library.<br>Contains:<br>• Authorisation report<br>• Cover letter |
| | Issue log | List of the issues registered during the assessment. Each issue under a different folder.<br>When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the assessment team.<br>Upload/update by the assessment 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 assessment team only, upload/update allowed directly in the library.<br>Contains:<br>• Supervision summary form(s) (or equivalent) filled in by the NSA(s).<br>• Minutes of meetings and any supporting documents.<br>• Any opinions of the NSAs following the consultation on border stations/sections.<br>• Any formal disagreements between authorities (e.g. with regard to the content of an assessment report).<br>• Any request submitted by the applicant before the Board of Appeal, decision of the |

[5] Applicable only in Pre-engagement phase
[6] Applicable only in Application phase
[7] Applicable only in Application phase

| Section | Folder/Subfolder | Description |
|---|---|---|
| | | Board of Appeal following the arbitration procedure.<br>• 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 assessment team can upload/update documents.<br>Contains:<br>• The acknowledgement of receipt of the application (automatically generated).<br>• The acknowledgement of completion of the application.<br>• 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:<br>• Assessment team<br>• Dashboard<br>• Warnings<br>• Events log<br>• Financial documents<br>• Lessons Learned<br>• Other management documents | **'Project team'** visible to all, upload/update by the assessment team allowed directly in the library.<br>**'Dashboard'** visible to all, upload/update by the assessment team allowed directly in the library.<br>**'Warnings'** visible to all, upload/update by the assessment team allowed directly in the library.<br>**'Events log'** visible to all according to the access rights, upload/update by the assessment team allowed directly in the library.<br>**'Financial documents'** only visible to the assessment team, upload/update allowed directly in the library. Contains Cost estimate (when requested by the applicant).<br>**'Lessons Learned'** only visible to the assessment team, upload/update allowed directly in the library.<br>**'Other management documents'** only visible to the assessment 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 assessment 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 assessment 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 assessment 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 assessment team only, upload/update allowed directly in the library. |
| | Recommendation | Visible for the ERA assessment team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.<br>Contains:<br>• The cover letter<br>• The recommendation report |
| | Decision | Visible for the ERA assessment team only, upload/update allowed directly in the library. Reports are available to involved NSA authority(s) with read access.<br>Contains:<br>• The cover letter<br>• The decision report |
| | Issue log | When an issue is assigned to the applicant, all actors can view it, otherwise only visible to the assessment team.<br>Upload/update by the assessment 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 assessment team can upload/update documents.<br>Contains:<br>• The acknowledgement of receipt of the application (automatically generated).<br>• End of submission and verification of completeness notification letters. |

| Section | Folder/Subfolder | Description |
|---|---|---|
| | Management:<br>• Events log<br>• Financial documents<br>• Other management documents<br>• Lessons Learned | **'Events log'** visible to all according to the access rights, upload/update by the assessment team allowed directly in the library.<br>**'Financial documents'** only visible to the assessment team, upload/update allowed directly in the library.<br>**'Other management documents'** only visible to the assessment team, upload/update allowed directly in the library.<br>**'Lessons Learned'** only visible to the assessment 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 voluntary procedural phase preceding the submission of an application for SSC, performed upon request of the applicant.

The SSC pre-engagement workflow is more basic than for SSC as there is no assessment process. Thus the "Assessment" tab is missing while it is possible to add issues. Predefined milestones in the Dashboard are also simplified as there is no assessment and hence, no decision taken at the end of the process.

## 7.2. VA PE

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

The VA pre-engagement workflow is in general the same than 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. Predefined milestones in the Dashboard are the same as for VA, with possibly different naming convention and milestone calculation method.

## 7.3. TA IE

TA initial engagement means a voluntary procedural phase preceding the submission of an application for TA, performed upon request of the applicant.

The TA initial engagement workflow is more basic than for TA as there is no assessment process. Thus the "Assessment" tab, "Dashboard" tab and "Application issue" tab are missing.

# 8. Common futures

This chapter describes common functionalities available across different report types and application workflows. These features support core user actions such as attaching files, managing uploads and adding issues to reports.

The described functionalities apply wherever relevant within the OSS and are referenced throughout this manual.

## 8.1. Attach files

The user can upload/ attach any files needed for the report by clicking on the second "Attach files" button and after by selecting the "+" button, as shown in Figure 124.

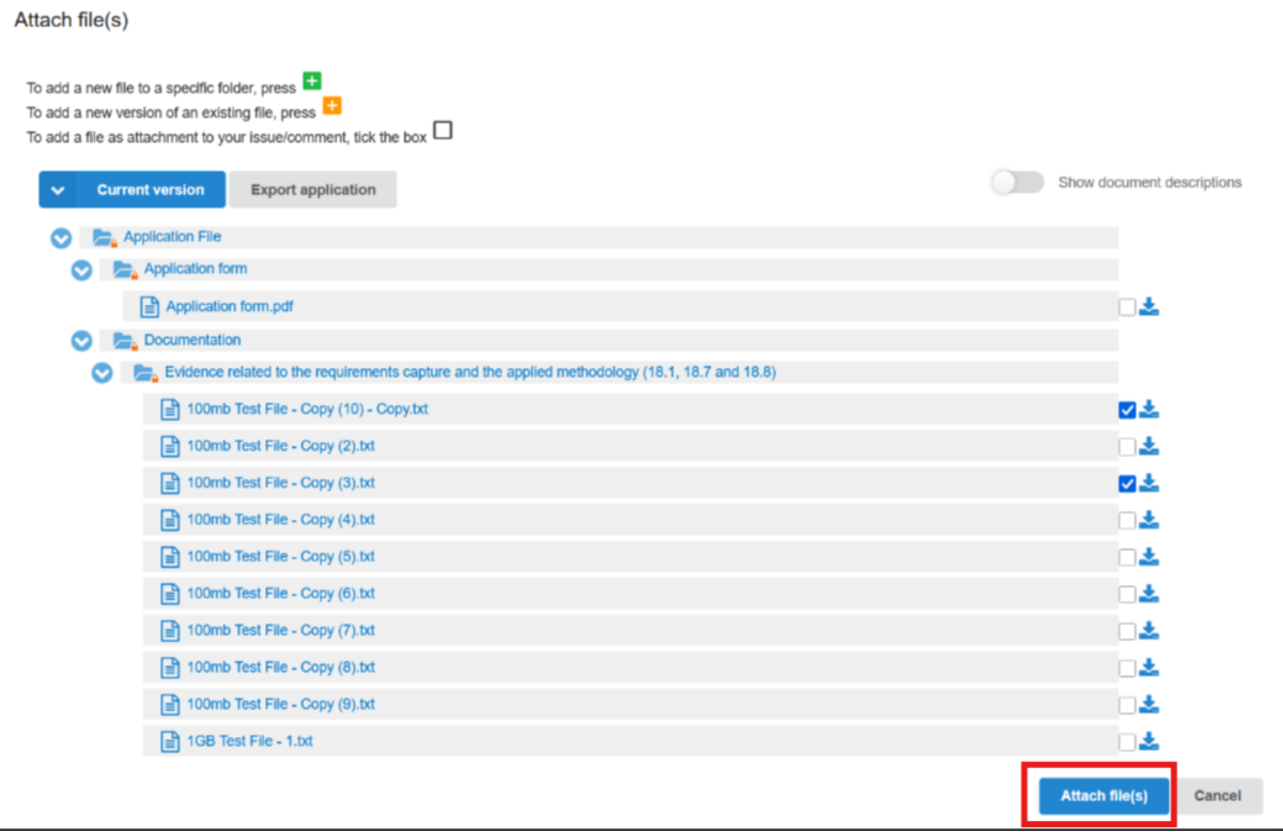



Figure 124: Attach files by clicking on the second "Attach files" button

Such action displays the Add file(s) modal window (see Figure 125). Please note that the system accepts as valid uploads the ones described in the File upload rules.

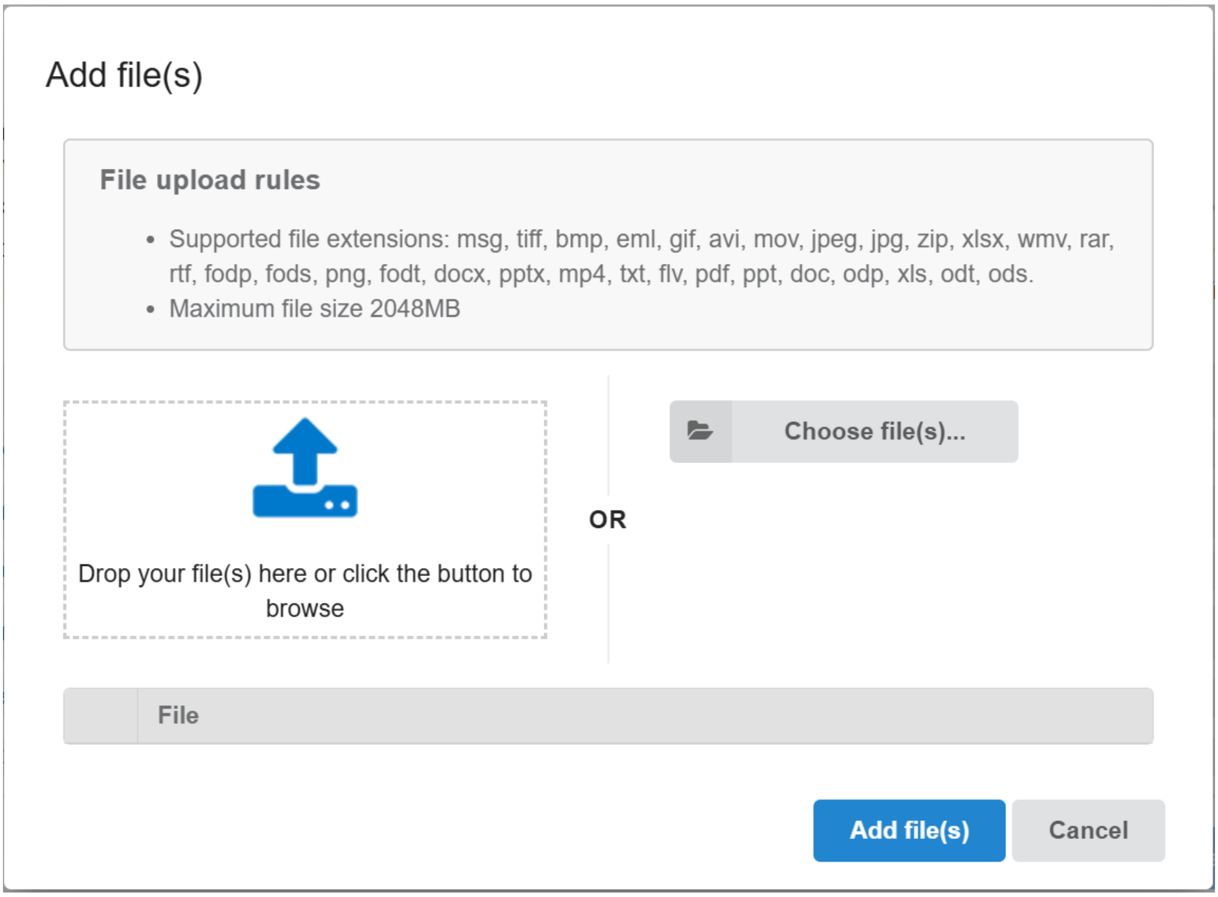



Figure 125: Add file(s)

The user can either drag and drop files or select one or more files by pressing the button “Choose file(s)…” and by selecting files from any available locations, as shown in Figure 126.

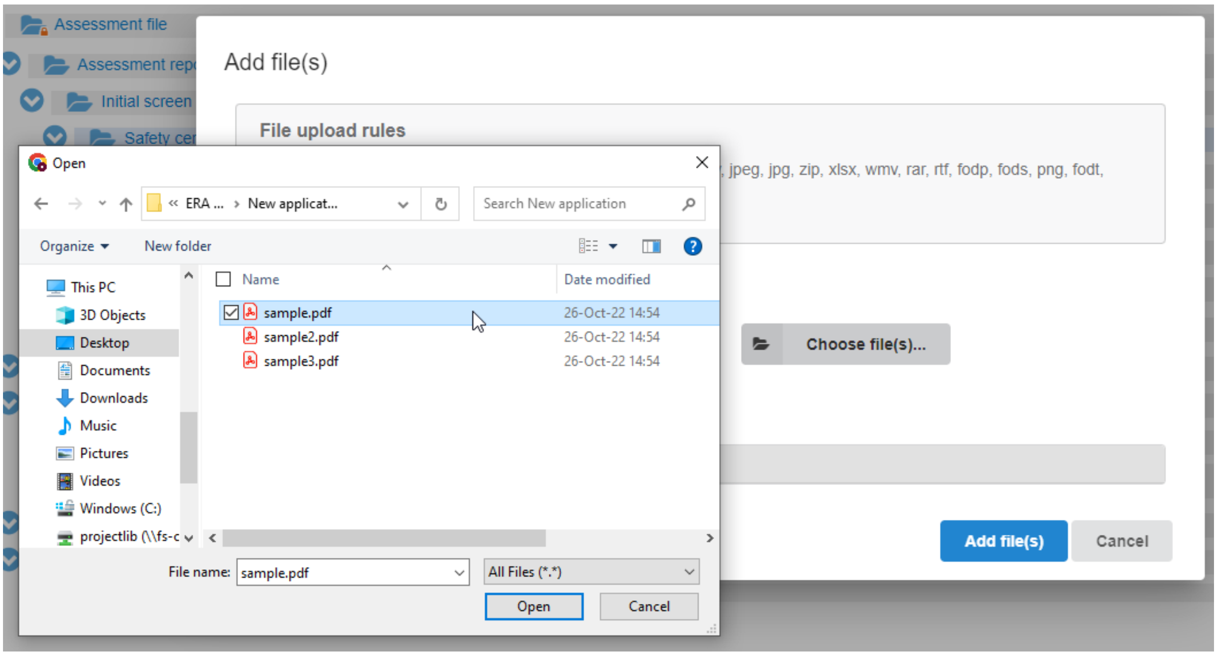



Figure 126: Choose file(s)

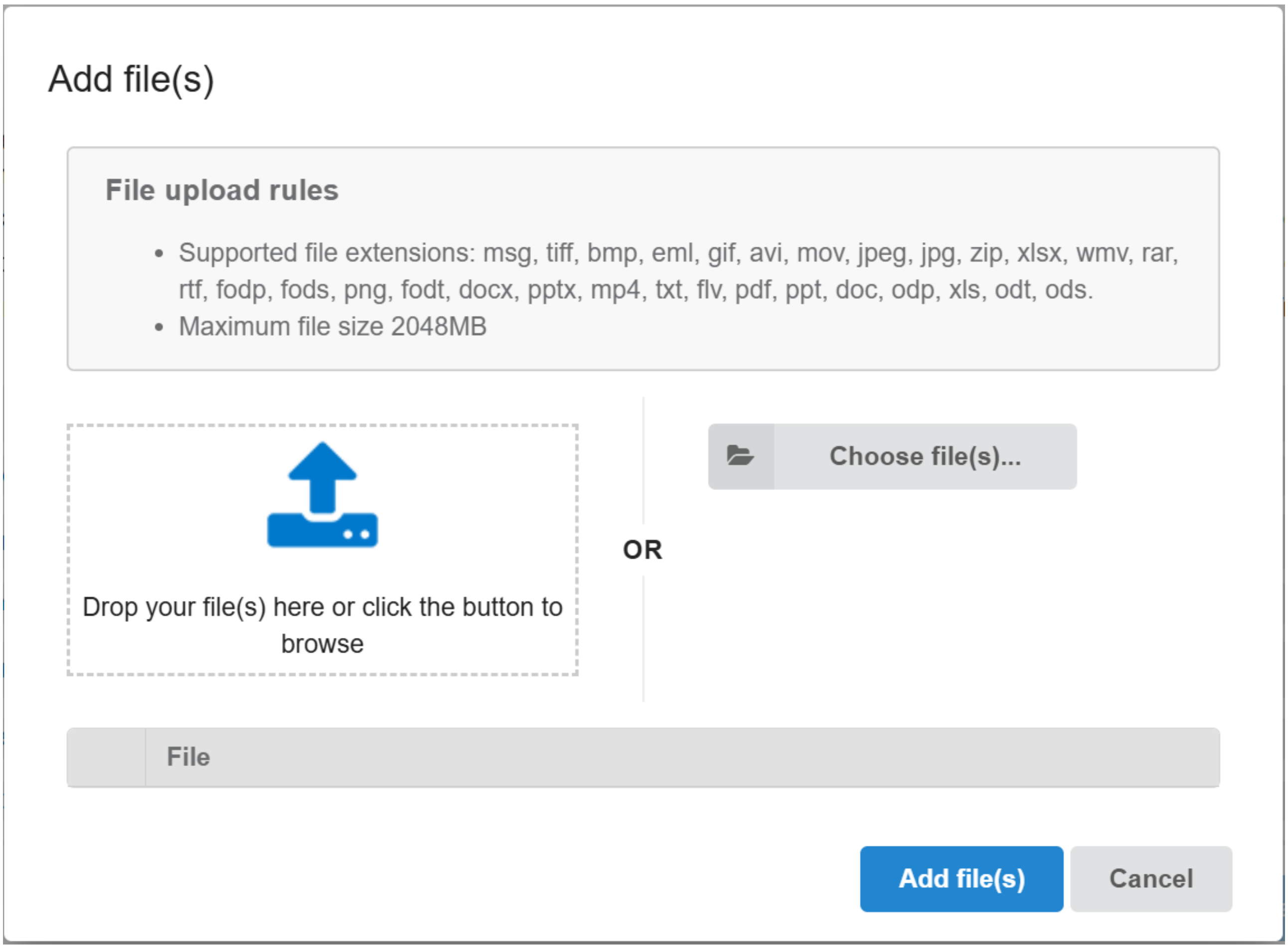



Figure 127: Successful upload

When selecting "Add file(s)" the file(s) selected by the user are uploaded and if successful the message displayed in Figure 127 is shown and the relevant file(s) appears in the relevant folder of Library, as shown in Figure 128. The user clicks on any check boxes and after on the “Attach files” button to attach the files to the report.

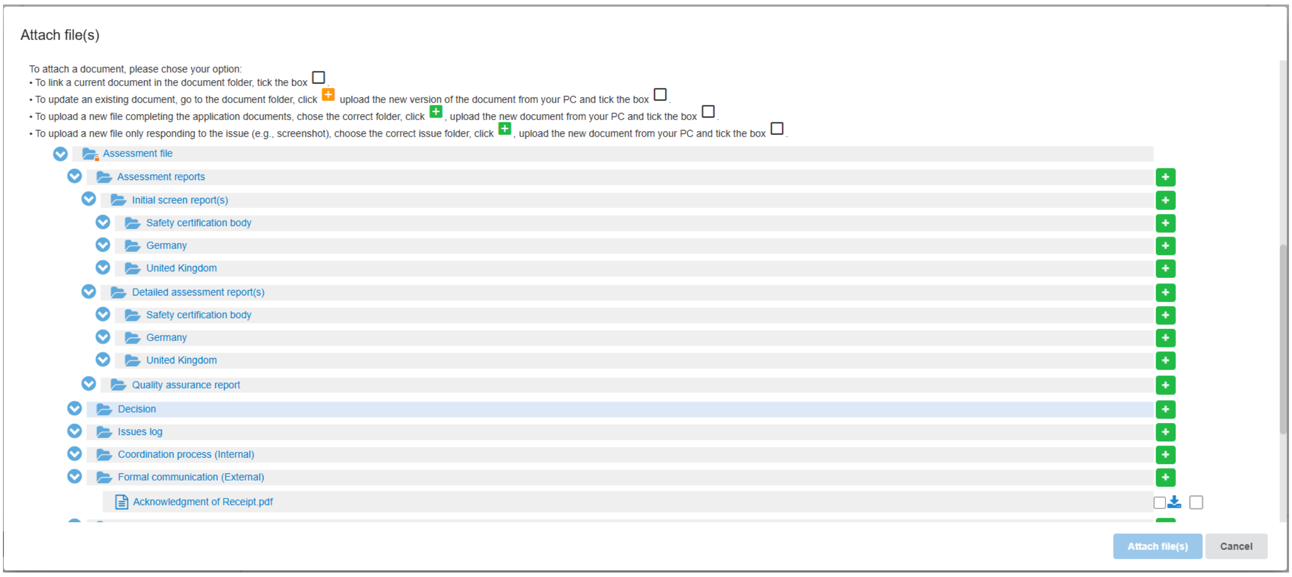



Figure 128: Attach file-check box

## 8.2. Cancel Upload

During the file upload process, the user has the option to cancel the upload at any time. To do this, the user can click the "Cancel Upload" button, which will immediately stop the upload process. Once cancelled, the file will not be saved or transferred to the system.

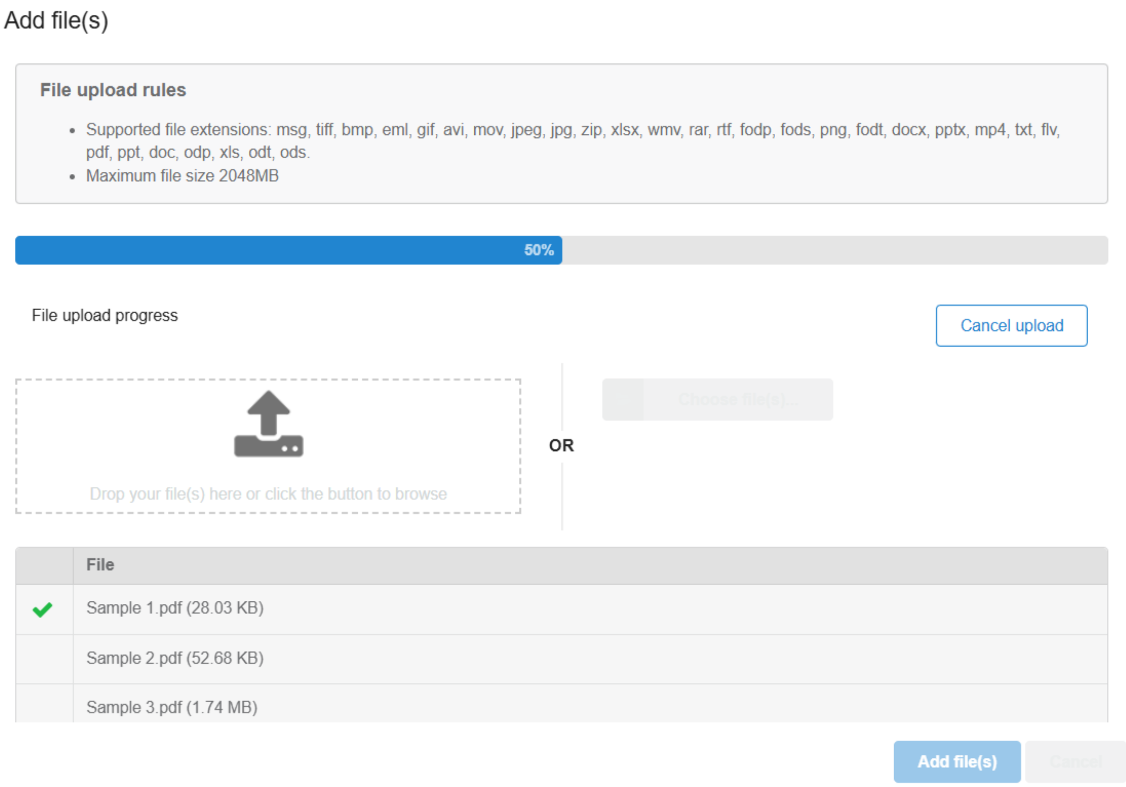



Figure 129: Attach file-check box


Figure 130: Cancel upload button

If the upload is cancelled, the user can either choose to upload a different file or retry uploading the same file again. The system will provide a confirmation message to ensure that the cancellation was successful.

Please note that cancelling an upload may take a few moments to process, depending on the file size and network speed.

## 8.3. Add Issues to Reports

In reports where the "Add issue" functionality is available, the user can add relevant application issue(s) to the report as shown in Figure 131.

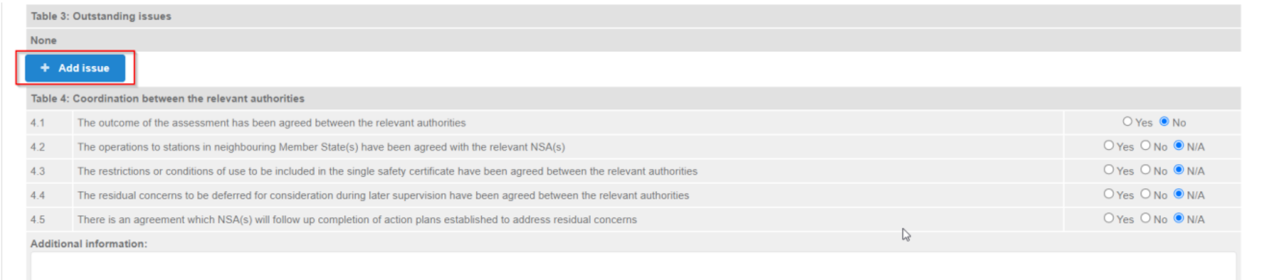



Figure 131: Recommendation report - Add issue from the issue log (SSC)

If the user presses the "Add issue" button, the system prompts a modal window displaying the list of the issues from the issue log, allowing the selection of one or more issues , as shown in Figure 132.

The user selects the relevant application issue(s) which should be added in the report and selects the "Add Issue(s)" button, as shown in Figure 132.

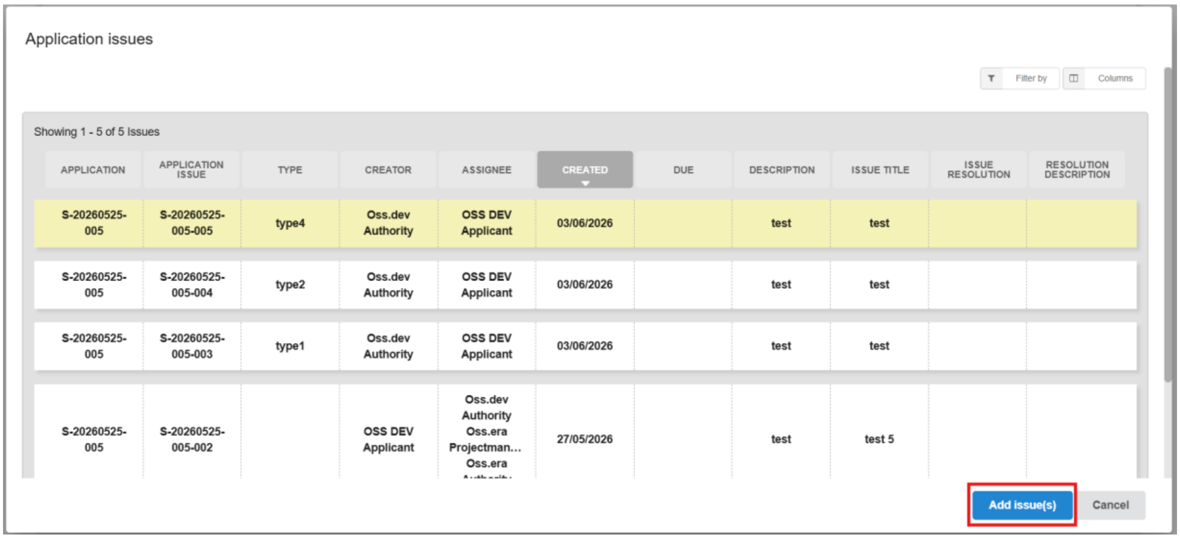



Figure 132: Add issue modal window

If the user wants to delete an added issue from the report, it can click on “Delete” button (see Figure 133 ).


Figure 133: Delete button

Then, the system displays the below confirmation message (see Figure 134).

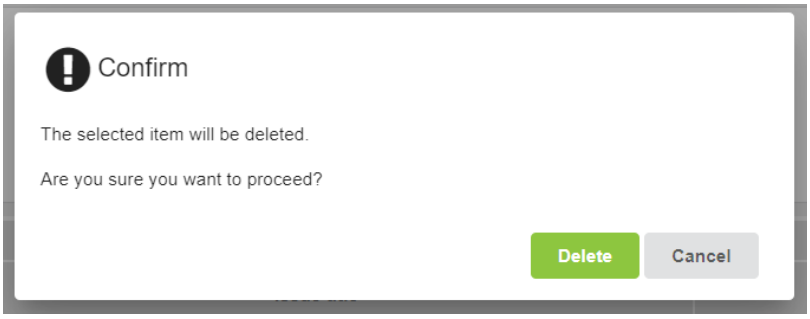



Figure 134: Confirmation message for the deletion of an issue

The user can also edit the issue type, issue title and issue resolution, as also shown in Figure 135. In such a case, the modifications made in the report are not replicated in the issue log. It is therefore strongly recommended to perform the change directly from the issue log (see section 5) unless the issue is no longer editable**.** This can be done by deleting the uploaded issues from the report, by updating the relevant issues (if possible) from the issue log, and by adding again the relevant issues into the report.


Figure 135: Edit issue type, title and resolution