Making the railway system work better for society.

User guide for applicants

One Stop Shop [ERA-DRO-010]

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1 Introduction

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

Detailed information in regard to the VA processes can be found on the ERA website: Vehicle Authorisations (VA).

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

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

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

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

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

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

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

2.1 Register as applicant

Applicant users must self-register in OSS, provided that they have created their ERA SRM Profile ([https://srm-portal.powerappsportals.com](https://srm-portal.powerappsportals.com)). Follow the below instructions, in order to become an OSS Applicant user. In the Sign In page shown in Figure 1: Create account as applicant, select the option “Create account as applicant”.

![One-Stop Shop (OSS) TEST](image)

*Figure 1: Create account as applicant*

Upon the above action the applicant will be redirected in the registration page as shown in Figure 2: SRMO registration. Details about the SRMO registration process will be provided there.

![Register for a new account](image)

*Figure 2: SRMO registration*
2.2 Sign in
Only registered users are able to sign into the system (refer to section 2.1).
In the landing page of the OSS shown in Figure 3: Sign in - OSS, click on the “Sign in” button and follow the instructions if it is the first time of login.

![Figure 3: Sign in - OSS](image)

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

2.3 Forgot password
In case that the password has been forgotten, or it is requested to do so for any other security reason, the users must update their password. In the screen of Figure 4, the user selects “Can’t access your account?” option and follow the instructions.

![Figure 4: Can’t access your account](image)
2.4 User profile

Once logged in, additional navigation and functions are offered through the menu at the top right corner as shown in Figure 5: Menus and user actions.

The options offered under this menu allow for:
- Viewing and updating user profile information;
- Redirecting to Azure Profile;
- Selecting the preferred user interface language;
- Logging out from the system.

2.4.1 View and update user profile information

Through User Profile a user may view all the information registered in his/her Azure Profile and is allowed to insert or update some preferences like the order of the tabs of the main ribbon menu, the default language and its preference for the reception of the OSS notifications, as shown in Figure 6: Update Profile.

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

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

2.4.2 Visit Azure Profile
With this option, the user will be able to be redirected to the control panel of its Azure Profile.

2.4.3 Language selection
Figure 7 shows how to select the preferred user interface language.

![Image of language selection]

Figure 7: Language selection

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

2.5.1 Application Issues
Application Issues as shown in Figure 8: Application Issues button, allow the user to see the list of issues across the applications.

![Image of application issues]

Figure 8: Application Issues button

2.5.2 Notifications
Notifications as shown in Figure 9: Notifications button, allow the user to view all the notifications across applications.

![Image of notifications]

Figure 9: Notifications button
2.6 Main applications page

On successful sign in, the system displays the applications list for the default domain, as shown in Figure 10: Main page – List of applications.

The system displays applications in the form of a list, for which there are features for paging (go to next or previous page, display x items per list), as shown in Figure 11: Paging and selection of columns to display, exporting and filtering/sorting, as shown in Figure 12: Filtering, Columns and Export selection. Selections made by the user are kept by the system and used for all subsequent views of the List of applications until the user amends them again.

2.6.1 Column selection

With the button “Columns” as shown in Figure 12: Filtering, Columns and Export selection, the user may select or unselect any of the available columns and press “OK” in order for the selected columns to be displayed in the List of applications. The maximum column choices are limited to 15. The available column choices are different depending on the domain (i.e. VA, SSC, TA).

2.6.1.1 Vehicle Authorisations

The available columns for selection in Vehicle Authorisations are listed below and are shown in Figure 13: VA Application List columns.

- “Applicant”: Column showing the Applicant’s Legal denomination;
- “Application”: Column showing the Application ID;
- “Application type”: Column showing the type of the application;
- “Phase”: Column showing that the application is for Vehicle Authorisation or Pre-Engagement;
- “Project name”: Column showing the application’s project name;
- “Authorisation details”: Column showing the details of the authorisation;
- “Submission”: Column showing the submission date of the application;
- “Decision”: Column showing the decision date of the application;
“Completeness acknowledgement”: Column showing the planned date once an application is in status submitted;
“Status”: Column showing the status of the application;
“Authority”: Column showing the issuing authority;
“Area”: Column showing the Area of use/operation;
“Vehicle identification”: Column showing the Vehicle Identification as included in Authorisation Details.
“EIN number”: Column showing the EIN Number issued during Decision.
“Assessor(s)”: Column showing the assigned Assessor(s) for the specific application.
“Project manager(s)”: Column showing the assigned Project manager(s) for the specific application.
“Quality assurance manager(s)”: Column showing the assigned Quality assurance manager(s) for the specific application.
“Decision maker(s)”: Column showing the assigned Decision maker(s) for the specific application.
“Modified”: Column showing the date of the last update of the application.
2.6.1.2 Single Safety Certificates

The available columns for selection in Single Safety Certificates are listed below and are shown in Figure 14: SSC Application List columns.

“Applicant”: Column showing the Applicant’s Legal denomination;
“Application”: Column showing the Application ID;
“Application type”: Column showing the Single Safety Certification type;
“Phase”: Column showing that the application is for Single Safety Certificate or for Pre-engagement;
“Submission”: Column showing the submission date of the application;
“Decision”: Column showing the decision date of the application;

Figure 13: VA Application List columns
“Completeness acknowledgement”: Column showing the planned date once an application is in status submitted;
“Status”: Column showing the status of the application;
“Authority”: Column showing the issuing authority;
“Area”: Column showing the Area of use/operation;
“Assessor(s)”: Column showing the assigned Assessor(s) for the specific application.
“Project manager(s)”: Column showing the assigned Project manager(s) for the specific application.
“Quality assurance manager(s)”: Column showing the assigned Quality assurance manager(s) for the specific application.
“Decision maker(s)”: Column showing the assigned Decision maker(s) for the specific application.
“Modified”: Column showing the date of the last update of the application.

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<tr>
<td>Decision maker(s)</td>
</tr>
<tr>
<td>Modified</td>
</tr>
</tbody>
</table>
2.6.1.3 ERTMS Trackside Approvals
The available columns for selection in Vehicle Authorisations are listed below and are shown in Figure 15: TA Application List Columns.

“Applicant”: Column showing the Applicant’s Legal denomination;
“Application”: Column showing the Application ID;
“Project name”: Column showing the application’s project name;
“Submission”: Column showing the submission date of the application;
“Decision”: Column showing the decision date of the application;
“Status”: Column showing the status of the application;
“Area”: Column showing the Area of use/operation;
“Assessor(s)”: Column showing the assigned Assessor(s) for the specific application.
“Project manager(s)”: Column showing the assigned Project manager(s) for the specific application.
“Quality assurance manager(s)”: Column showing the assigned Quality assurance manager(s) for the specific application.
“Decision maker(s)”: Column showing the assigned Decision maker(s) for the specific application.
“Modified”: Column showing the date of the last update of the application.

Figure 15: TA Application List Columns
2.6.2 Filtering selection
The user may select or unselect any of the available filtering options and a combination of them and press “OK” so that the applications displayed in the List of applications are filtered according to the criteria introduced. By selecting “Clear filter” all related filtering choices are removed and all user related applications are displayed as a list. Possible choices include the following, while some could be missing depending of the domain (i.e. VA, SSC, TA):

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

2.6.2.1 Vehicle Authorisations
Filtering options available in Vehicle Authorisations are shown in Figure 16 Vehicle Authorisations filtering options.
2.6.2.2 **Single Safety Certificates**

Filtering options available in Single Safety Certificates are shown in Figure 17 Single Safety Certificate filtering options.
2.6.2.3 **ERTMS Trackside Approvals**

Filtering options available in TA are shown in Figure 18 TA Filtering options.

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**Figure 17 Single Safety Certificate filtering options**
2.6.3 Exporting selection

With the button “Export” as shown in Figure 12: Filtering, Columns and Export selection, the user may select the option “Current view” or “Full dataset” as shown in Figure 19 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 18 TA Filtering options]

![Figure 19 Export selection]

2.7 Application list item

For each application displayed in the applications list, the system displays a summary information similarly to what is shown in Figure 20: Applications list item. By selecting any of the text in blue, the system displays
more information in regards to the Applicant’s details, or a quick view of the dashboard (stages/milestones) of the application.

2.7.1 Applicant’s details
By clicking on the “Applicant” or the “Application” column then the summary information for the Applicant’s details are displayed, as shown in Figure 21: Applicant’s details.

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

2.8 Applications list item context menu
In addition to the above options per applications list item, there is also a context menu as shown in Figure 23: Context menu options, offering options to share an application with another applicant user, create a copy of the application as draft, or select to view any of the sections of the application.
2.8.1 Share application

Applicants can share an application with other applicant users. Such action allows the sharing of the application and of the relevant tasks and actions related to this application. Select option “Share application”, as shown in Figure 23: Context menu options, introduce the email of an already registered OSS applicant user, as shown in Figure 24: Share application – Applicant’s details, and finally select “Share”. A notification will be sent to the new user informing him/her of the sharing of the specific application. By default the application will be shared with the new applicant user with both Read and Write access rights, which means that the new applicant can modify all the available for modification fields, exactly like the initial applicant. In case of enabling the “Read-only access” switch button, the new applicant will only be allowed to view the Submit Application screen without being allowed to modify any field in the shared application.

![Figure 24: Share application – Applicant’s details](image)

The system informs the user that the application shared successfully as shown in Figure 25: Confirmation message for share application.

![Figure 25: Confirmation message for share application](image)

The system also informs the user that the application has not been shared in cases that the introduced email is not of a registered user, as shown in Figure 26: Share application error.
2.8.2 Create
The system allows the creation of a draft application based on already created application. When selecting this option OSS creates a draft application based on the contents of the chosen application and allows the user to update information starting from step 1 of the wizard.

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

2.9 Application Details Screen
When an applicant signs in, the system displays the relevant applications list. If the applicant selects to “View” an application as shown in Figure 27: Details of an application, the system displays the below screen:

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

2.9.1 Application
The applicant can view the application in read only mode as shown in Figure 28: “Application” tab in read only mode by the applicant.
2.9.2 Application issues
In this page, the applicant can view a list of all application issues created for the specific application. For details in creating and managing application issues, see section Communication between applicant and assessment team – Management of application issues.

2.9.3 Project team
In this page the applicant can view the project team members of an application, including the related Programme Managers of ERA and the Member States involved as shown in Figure 29: “Project team” tab in read only mode by the applicant. The specific application roles are Project Manager, Assessor, Assuror, Decision Maker, and Observer.
2.9.4 Dashboard
The Dashboard is the section where the important dates (milestones) of each project/application, as well as the application status is shown. The application status is calculated automatically or changed by the Project Manager. Each milestone is usually defined by a planned and an actual date. The applicant only see as milestones the “Start of the assessment”, “Completeness Acknowledgement” and “Decision” (“Start of submission and verification of completeness”, “End of submission and verification of completeness” and “End of assessment and decision” in the TA domain), as shown in Figure 30: Dashboard screen.

2.9.5 Library
The library is the repository where all application information is stored. The library information and functionality can be accessed according to the user’s access rights, similarly to what is shown in Figure 31: Library. The relevant functionality includes:

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

![Figure 31: Library](image)

The relevant user can upload files by clicking on the + button in the relevant folder as shown in Figure 31: Library. After the uploading, the user can see the details of the file, as shown in Figure 32: “Show document descriptions” radio button, by clicking on the “Show documents description” radio button or can download a file by using the “Download document” button as shown in Figure 33: “Download” button.

![Figure 32: “Show document descriptions” radio button](image)

![Figure 33: “Download” button](image)

The applicant can select the version of the uploaded document, shown in Figure 34: “Select version” button.

![Figure 34: “Select version” button](image)
The applicant can also select the files he/she can see on the Library screen. If the user selects the option “Initial application version”, he/she can view only the uploaded files until the submission of the application. If the user selects the option “Current version”, he/she can view all the uploaded files that have been added to this current version from the time of submission and after.

![Current version button](image)

**Figure 35: “Current version” button**

If the user selects the “Export application” button as shown in Figure 36: “Export application” button, the system downloads all uploaded files of the application in a zip folder.

![Export application button](image)

**Figure 36: “Export application” button**

### 2.9.6 Event log

The event log is a detailed list of a user actions during the lifecycle of an application. The events log exists only after application submission and filtered according to the access rights of the user, as shown in Figure 37: Main screen of event log.

The following events are captured in the log:

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

Each record in the log contains the following information:

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

![Event log main screen](image)

**Figure 37: Main screen of event log**
2.10 Applicant “Actions”
Apart from the submission of an application, there are no other tasks related to the applicant during the assessment of an application file. However an applicant may request termination of an assessment of an application or request the review of an opinion after a decision.

2.10.1 Terminate application
After an application has been submitted the applicant can request its termination. So, if the applicant wants to terminate an application, he/she can select from the “Actions” button from the application details screen, the option “Terminate application” as shown in Figure 38: Actions button- Terminate application.

![Figure 38: Actions button- Terminate application](image)

2.10.2 Request Review
If the applicant receives a notification for the submission of the Decision/Opinion, he/she can select from the “Actions” button the option “Request review” as shown in Figure 39: Actions button- Request Review.

![Figure 39: Actions button- Request Review](image)

Upon request for user confirmation for the “Request review” action as shown in Figure 40: Request Review warning, the user proceeds with the uploading of the required files for the review as shown in Figure 41: Request Review of Decision.
Figure 41: Request Review of Decision
3 My work
Once logged in, the user can navigate to “My work” section in order to view Application Issues and Notifications as shown in Figure 42: “My Work” screen.

![My Work screen](image)

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

![Details of a notification](image)

If the user clicks “Close” button the notification pop-up window closes and the notification greys out in the list as read. In case the user clicks the “Mark as unread” button the notification closes and remains as unread in the Notifications list. The user can also mark as read multiple notification by selecting them with the checkbox in the right of each notification and then by clicking the “Mark as read” button as shown in Figure 44: Mark as read multiple notifications. The unread notifications count number (Figure 9: Notifications button) is updated when a notification is marked as read.
3.2 Application Issues

Issues are created in order to support the communication between the assessment team and the applicant and vice versa. “Issues” tab allows the applicant to view the list of application issues across the applications. If the applicant selects “View”, then he/she can view/update/submit the issue. Every applicant may see all the issues he/she is involved as “Creator” or “Assignee”, including “Drafts”. All lists allow for filtering and sorting (Figure 12: Filtering, Columns and Export selection). Application issues can be viewed by clicking on “Issues” button as shown in Figure 8: Application Issues button.

Figure 44: Mark as read multiple notifications

All lists allow for filtering and sorting (Figure 12: Filtering, Columns and Export selection).
4 Create/Submit an application
In this version of the OSS the following applications are supported:
Vehicle Authorisation (VA) Cases (Vehicle Authorisations (VA))
  ▪ Vehicle Authorisations
  ▪ Pre-engagement Requests
Single Safety Certificate (SSC) (Single Safety Certificate (SSC))
  ▪ Single Safety Certificate
  ▪ Pre-engagement
Trackside Approval projects (TA) (Trackside Approval projects (TA))
  ▪ Request for ERTMS trackside approval

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

4.1 Vehicle Authorisations (VA)
4.1.1 Vehicle Authorisations (VA)
4.1.1.1 Create a new application
This section explains how an applicant user of the system can create and prepare a VA application file.
The available vehicle authorisations cases are:
  ▪ First Authorisation
  ▪ New Authorisation
  ▪ Extended area of use authorisation
  ▪ Renewed vehicle type authorisation
  ▪ Authorisation in conformity to type
  ▪ First Authorisation and Authorisation in conformity to type
  ▪ New Authorisation and Extended area of use authorisation

For each of the above-listed authorisation cases the user is requested to introduce information on Types and/or Variants during the “Authorisation Details” (3rd) step of the wizard. More specifically below are depicted in detail the mandatory and optional information sections per case.

1. For First VA the applicant must declare:
   - one type (mandatory)
   - many variants (optional)
2. For New VA the applicant must declare:
   - one type (optional)
   - many variants (optional)
   - note that if the applicant is not the current vehicle type authorisation holder, at least one authorisation of a type must be added. In contrast, if the applicant is the current vehicle type authorisation holder, a variant declaration is enough.
3. For Renewal VA the applicant must declare:
   - one type (optional)
   - many variants (optional)
   - note that if the applicant is not the current vehicle type authorisation holder, at least one authorisation of a type must be added. In contrast, if the applicant is the current vehicle type authorisation holder, a variant declaration is enough.
4. For Conformity to type the applicant must declare:
   - many types (optional)
   - many variants (optional)
   - many versions (optional)
- note that at least one type, variant or version must be added.  

5. For Extended of area of use (AoU) the applicant must declare:  
   - many types (optional)  
   - many variants (optional)  
   - note that if the applicant is not the current vehicle type authorisation holder, at least one authorisation of a type must be added. In contrast, if the applicant is the current vehicle type authorisation holder, a variant declaration is enough.  

6. For the combination First VA + Conformity to type the applicant must declare:  
   - the combination of the restrictions for the above authorisation cases is applied.  
   - the number of the conformity sections must be minimum 1 and maximum at the number of Types + Variants  

7. For the combination New VA + Extended of area of use (AoU) the applicant must declare:  
   - the combination of the restrictions for the above authorisation cases is applied.  
   - for section Extended AoU, description of the vehicle type and Area of use sections can be skipped, as they are the same as in the section new type.  

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

Only applicant users can create applications. In the “Main page – Applications list”, select “New” and then “Apply for a vehicle authorisation” as shown in Figure 45: Create Vehicle Authorisation application.

![Figure 45: Create Vehicle Authorisation application](image)

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 46: Progress bar of a Vehicle Authorisation. By selecting “Hide progress bar” the wizard is hidden.

![Figure 46: Progress bar of a Vehicle Authorisation](image)

The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (*) in their label as shown in Figure 47: Mandatory fields.

![Figure 47: Mandatory fields](image)
In addition for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 48: Tooltip information.

Figure 48: Tooltip information

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 49: Alerts and fields in error.

Figure 49: Alerts and fields in error

When a user will select to “Validate” the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 50: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

Figure 50: Error message validating the submission of an application

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 51: Applications list with a draft application, by clicking the “View” button.

Figure 51: Applications list with a draft application

The Applicant follows the below steps to create an application:

- Application Description
- Conformity Assessment Bodies
- Authorisation Details
- Documentation
- Mapping Tables
- and finally, Submit Application
The information contained in all the above forms stems from the Annexes of the Practical Arrangements found in the Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process.

4.1.1.2 Application description

In this first step of the wizard as shown in Figure 52: Application Description, the Applicant must fill in information in regards to Applicant’s information, Contact person’s information and details on the Authorisation case.

![Application description](image)

Figure 52: Application Description

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

In the Authorisation case part the user is asked to select the “Authorisation case applied for” as shown in Figure 53: Authorisation Case and according to the available authorisation cases.
The system also displays the option to link this application to a pre-engagement. If the user selects “Yes” then the system requires the pre-engagement id as shown in Figure 54: Pre-engagement id.

The Applicant must also select the Language, in which all Formal Communication and Decisions/Authorisations will be delivered, shown in Figure 55: Language.

To save and move to the next step of the application file wizard, the applicant may select “Save and next step” button, shown in Figure 56: Save and next step.

To stop editing the application and go to the main menu “Exit” button is selected, shown in Figure 57: Discard Application-Exit button.

To save the application, the applicant clicks on the “Save” button.

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

In this second step of the wizard as shown in Figure 60: Conformity Assessment Bodies, the Applicant must fill in information in regards to Notified Body(ies), Designated Body(ies) and Assessment Body(ies) (CSM RA). None of these bodies are mandatory and for each one of them the applicant may add more than one.

When the applicant introduces any of the above bodies, then the system requires that the detailed information as shown in Figure 61: Conformity Assessment Bodies-Details is provided.
The applicant can remove any of the inserted bodies, by selecting the remove button as shown in Figure 62: Conformity Assessment Bodies-Remove Body.

The mandatory fields are clearly marked with red asterisk (*). To move to the next step “Save & next step” is selected as shown in Figure 56: Save and next step. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 63: Previous step.

4.1.1.4 Authorisation details
In this step of the wizard the Applicant is asked to introduce information on a Type and/or Variants depending on the Authorisation case selected in the Application Description step (first step) as shown indicatively in Figure 64 for New authorisation. Similar restrictions apply for all the single authorisation cases.
The information required by the applicant to be introduced for all allowed Type and Variant(s) is based on the authorisation case requested, the full extent of which is shown in Figure 65: Authorisation Details for Type/Variant(s) in case of NEW authorisation. All mandatory information is marked with (*) and is required.
Figure 65: Authorisation Details for Type/Variant(s) in case of NEW authorisation

The applicant selects to fill-in the fields for Description of vehicle type/variant as can be found in the ERATV register and select at least one country by using the “Add/Remove Member state” button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 66: Member State(s) selection. Select “Whole EU” when there is no national rule applicable to the vehicle and only the Agency needs to perform the assessment.
After saving the selection, the applicant may characterise each Member State as Border Station or not and should provide detailed information about the Network(s) per MS as shown below in Figure 67 and Figure 68.

![Member State(s) selection](image)

**Figure 66: Member State(s) selection**

For each NSA the user can select whether it is Border Station or not by enabling the switch button, as shown in Figure 68. Upon the Border Station selection, the respective NSA tab will be moved at the end of the NSA tabs sequence and it will be marked with the icon of Figure 69 below.

![Authorisation Details – Border Station details](image)

**Figure 68: Authorisation Details – Border Station details**

The applicant must also provide information on the sections “Current vehicle type authorisation holder”, “Description of vehicle type”, “Conditions for use of the vehicle and other restrictions” as shown in Figure 65: Authorisation Details for Type/Variant(s) in case of NEW authorisation. For Vehicle identification the user
may select an “Identifier” and introduce the value corresponding to the selected identifier. In addition a number of “Registration entity email(s)” may be introduced, as shown in Figure 70: Authorisation Details – Information on the vehicle. The registration entity recipients will be notified of the decision when it will be delivered to the Applicant.

![Image](image1.png)

*Figure 70: Authorisation Details – Information on the vehicle(s)*

In addition to the above the user may also provide a description of the CCS additional function and indicate the applicable rules.

For the combined authorisation cases offered by the system, “First Authorisation and Authorisation in conformity to type” and “New Authorisation and Extended area of use” the user must introduce the required information for both authorisations requested, as shown in Figure 71: Authorisation Details – Combined Authorisation case for First authorisation and Authorisation in conformity to type.

![Image](image2.png)

*Figure 71: Authorisation Details – Combined Authorisation case for First authorisation and Authorisation in conformity to type*

Another authorisation case that deviates from the general path of filling the Authorisation details information is the “Authorisation in conformity to type”. In such an authorisation there is no introduction of Members State details, but only the selection of related Member State(s). In addition the applicant may introduce a number of “Information on the vehicle(s) to authorise” section, in a similar manner as in the “Information on the vehicle(s)” for all other authorisation cases and add any Coded or Non-coded restrictions applied to the selected vehicle(s) as shown in Figure 72: Authorisation Description – Information on the vehicle(s).
The last step in this Authorisation details step is the selection of the “Issuing Authority”. If the Applicant has introduced a number of Member States, within the Type/Variant(s), then the system sets this value automatically to “European Union Agency for Railways”, as shown in Figure 73: Issuing Authority. If the applicant has selected more than one Member States, only one is allowed to not be characterised as Border Station, in order for this specific one to be allowed to act as issuing author.“ In case there are more than one MSs that are not characterized as Border Stations then, by default, the issuing authority is ERA.

![Figure 72: Authorisation Description – Information on the vehicle(s)](image)

To move to the next step “Save & next step” is selected as shown in Figure 56: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 63: Previous step.

### 4.1.1.5 Documentation

In this step of the wizard as shown in Figure 74: Application documentation, the Applicant must provide the documentation relevant to the Authorisation case selected in the first step. The list of folders as appear in this step stem from Annex I of the implementing act (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).
The Applicant can upload any documents needed for the application by selecting the “+” button relevant to each folder. Such action displays the Add file(s) page, shown in Figure 75: Add file(s) and allow the user to either select one or more files to upload from a specific folder on the user’s system as shown in Figure 76: Choose file(s) or by drag and drop the file(s) in the “Drop your file(s) here” section. Please note that the system accepts as valid uploads the ones found in the File upload rules:

- Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fods, png, fodo, docx, pptx, mp4, txt, flv, pdf, ppt, doc, odp, xls, odt, ods.
- Maximum file size 2048MB and bigger than 0KB
When selecting “Add file(s)” the file(s) selected by the user are uploaded and if successful the message displayed in Figure 77: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 78: Uploaded file.
The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file.

To move to the next step “Save & next step” is selected as shown in Figure 56: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 63: Previous step.

4.1.1.6 Mapping tables

In the Mapping Tables step of the wizard, the applicant is asked to reference the provided documentation in the previous step, to the assessment aspect set for each Authorising entity and NSA involved in the application, as shown in Figure 79: Mapping Tables wizard step. The assessment aspects are described in Annex II for the Authorising Entity and Annex III for each NSA, of the practical arrangements document (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).

For every assessment aspect found in the mapping tables, the user is required to provide the reference from the documentary evidence, the reference with the selected document and a comment if applicable as shown in Figure 80: Mapping Tables details. The user may reference more than one file for each assessment aspect, by using the “+”. It can be removed by using the “-”. The documentary evidence is a drop down list that includes all the folders and added files in the previous Documentation step.
When the user is satisfied, may use any of the “Save”, “Save and Next” or “Previous” buttons. To move to the next step “Save & next step” is selected as shown in Figure 56: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 63: Previous step.

4.1.1.7 Sign & submit application

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 81: Review application.

Figure 80: Mapping Tables details
The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select “Previous step”. To submit the application the user selects the “Submit” button.
4.1.2 Pre-engagement Requests

4.1.2.1 Create a new application

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

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

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

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

Only applicant users can create applications. In the “Main page – Applications list”, select “New” and then “Request pre-engagement” as shown in Figure 82: Create Vehicle Authorisation pre-engagement application.

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 83: Progress bar of a Vehicle Authorisation PE. By selecting “Hide progress bar” the wizard is hidden.

The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour). There are a number of fields in each step that are flagged as mandatory, having a red asterisk (*) in their label as shown in Figure 47: Mandatory fields.

In addition, for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 48: Tooltip information.
For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 49: Alerts and fields in error.

When a user will select to “Submit” the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 84: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 85: Applications list with a draft application, by clicking the “View” button.

The Applicant follows the below steps to create an application:

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

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

4.1.2.2 Pre-engagement description

In this first step of the wizard as shown in Figure 86: VA Pre-engagement Application Description, the Applicant must fill in information in regard to Applicant’s information, Contact person’s information and details on the Authorisation case.
Figure 86: VA Pre-engagement Application Description

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

In the Authorisation case part, the user is asked to select the “Authorisation case applied for” as shown in Figure 53: Authorisation Case and according to the available authorisation cases. The system also displays the option to link this application to a pre-engagement. If the user selects “Yes” then the system requires the pre-engagement id as shown in Figure 54: Pre-engagement id. The Applicant must also select the Language, in which the decision will be issued, shown in Figure 55.
To save and move to the next step of the application file wizard, the applicant may select “Save and next step” button, shown in Figure 87: Save and next step.

![Figure 87: Save and next step](image)

To stop editing the application and go to the main menu “Exit” button is selected, shown in Figure 88: Discard Application-Exit button.

![Figure 88: Discard Application-Exit button](image)

To save the application, the applicant clicks on the “Save” button, shown in Figure 89: “Save “button.

![Figure 89: “Save “button](image)

If there is unsaved information a warning message is displayed to the user about loss of unsaved information, shown in Figure 90: Warning message about unsaved information loss.

![Figure 90: Warning message about unsaved information loss](image)

**4.1.2.3 Intended Authorisation Details**

In this second step of the wizard as shown in Figure 91: Authorisation Description, the Applicant must provide the characteristics of the intended authorisation. Specifically, in this step of the wizard the Applicant is asked to introduce information on a Type and/or Variants depending on the Authorisation case selected in the Application Description step.
The information required by the applicant to be introduced for all allowed Type and Variant(s) is based on the authorisation case requested, the full extent of which is shown in Figure 92: Authorisation Description for Type/Variant(s) in case of a New authorisation. All mandatory information is marked with (*) and is required.

The applicant selects to fill-in the fields for Description of vehicle type/variant and select at least one country by using the “Add/Remove Member state” button. The Member states are selected by radio buttons that can
be activated and deactivated as shown in Figure 93: Member State(s) selection. Select “Whole EU” when there is no national rule applicable to the vehicle and only the Agency needs to perform the assessment.

Figure 93: Member State(s) selection

After saving the selection, the applicant may characterise each Member State as Border Station or not and should provide detailed information about the Network(s) per MS as shown below in Figure 94 and Figure 95.

Figure 94: Authorisation Details – Member State details

Figure 95: Authorisation Details – Border Station details

For each NSA the user can select whether it is Border Station or not by enabling the switch button, as shown in Figure 68. Upon the Border Station selection, the respective NSA tab will be moved at the end of the NSA tabs sequence and it will be marked with the icon of Figure 96 below.

Figure 96: Border Station icon
The applicant may also introduce “Information about the vehicle”. For Vehicle identification the user may select an “Identifier” and introduce the value corresponding to the selected identifier. In addition, a number of “Registration entity recipients” may be introduced. The registration entity recipients will be notified of the decision when it will be delivered to the Applicant.

![Figure 97: Information about the vehicle](image)

For the combined authorisation cases offered by the system, “First Authorisation and Authorisation in conformity to type” and “New Authorisation and Extended area of use authorisation” the user must introduce the required information for both authorisations requested, as shown in Figure 98: Authorisation Details – Combined Authorisation case for First Authorisation and Authorisation in conformity to type.

![Figure 98: Authorisation Details – Combined Authorisation case for First Authorisation and Authorisation in conformity to type](image)

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

![Figure 99: Description of vehicle type (First authorisation)](image)

The last step in this Authorisation details step is the selection of the “Issuing Authority”. If the Applicant has introduced a number of Member States, within the Type/Variant(s), then the system sets this value automatically to “European Union Agency for Railways”, as shown in Figure 100: Issuing Authority. The applicant may choose to use the “National Safety Authority”, only if all introduced Type/Variant(s) address one and the same Member State, in which case the Member State is the issuing authority.
4.1.2.4 Documentation

In this step of the wizard as shown in Figure 101: Application documentation, the Applicant must provide the documentation relevant to the Authorisation case selected in the first step. The list of folders as appear in this step stem from Annex I of the implementing act (Commission Implementing Regulation (EU) 2018/545 of 4 April 2018 establishing practical arrangements for the railway vehicle authorisation and railway vehicle type authorisation process).

The Applicant can upload any documents needed for the application by selecting the “+” button relevant to each folder. Such action displays the Add file(s) page, shown in Figure 102: Add file(s) and allow the user to either select one or more files to upload from a specific folder on the user’s system as shown in Figure 103: Choose file(s) or by drag and drop the file(s) in the “Drop your file(s) here” section. Please note that the system accepts as valid uploads the ones described in the File upload rules.
Figure 102: Add file(s)

Figure 103: Choose file(s)
When selecting “Add file(s)” the file(s) selected by the user are uploaded and if successful the message displayed in Figure 104: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 105: Uploaded file.

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file.
The user can select the “Show document description” button and then the system displays the details of the uploaded file e.g. the size, the title of the document and the description.

To move to the next step “Save & next step” is selected as shown in Figure 56: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 63: Previous step.
4.1.2.5 **Sign & submit application**

In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 109: Review application.

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select “Previous step” as shown in Figure 63: Previous step. To submit the application, select “Submit”.

![Figure 109: Review application](image-url)
4.2 **Single Safety Certificate (SSC)**

4.2.1 **Single Safety Certificate**

4.2.1.1 **Create a new application**

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

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

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

Only applicant users can create applications. In the “Main page – Applications list”, select “New” and then “Apply for a Single safety certificate” as shown in Figure 110: Create Certificate application.

![Figure 110: Create Certificate application](image)

The system displays a wizard, splitting in steps the creation of an application file in a form of a status bar, showing the steps that must be completed to submit the application as shown in Figure 111: Progress bar of SSC application. By selecting “Hide progress bar” the wizard is hidden.

![Figure 111: Progress bar of SSC application](image)

The colour of the progress bar per step indicates if the application is incomplete or there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour).

There are a number of fields in each step that are flagged as mandatory, having a red asterisk (*) in their label as shown in Figure 112: Mandatory fields.

![Figure 112: Mandatory fields](image)

In addition, for every field a tooltip is displayed, with relevant information on the meaning the value expected for the field as shown in Figure 113: Tooltip information.
For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 114: Alerts and fields in error.

When a user will select to “Submit” the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 115: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.
The user might select to navigate away from the wizard and continue the application preparation later. In this case the system allows the user to modify the draft application as found in the Application List, shown in Figure 116: Applications list with a draft application, by clicking the “View” button.

The Applicant follows the below steps to create an application:

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

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

4.2.1.2 Scope of application

In this first step of the wizard as shown in Figure 117: Scope of application, the Applicant must fill in information in regards to Scope of application, basic information, Members State concerned with the intended area of operation and issuing authority.

![Figure 117: Scope of application](image-url)
In the Basic information part (Scope of application), the user is asked to select the “Type of application” as shown in Figure 118: Type of application and according to the available types. All mandatory fields are clearly marked by red asterisk (*).

![Figure 118: Type of application](image)

The system also displays the option to link this application to a pre-engagement. If the user selects “Yes” then the system requires the pre-engagement id as shown in Figure 119: Pre-engagement id and when an application is linked to a previous one, either a closed pre-engagement or a formal application in any status, the previous application file is copied and is available for further editing to the applicant.

![Figure 119: Pre-engagement id](image)

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

![Figure 120: Expected date of starting service(s) operations](image)

The applicant selects at least one country by using the “Add/Remove Member state” button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 121: Member State(s) selection.
Figure 121: Member State(s) selection

After saving the selection, detailed information that need to be filled in about each member state is displayed as shown below in Figure 122 and Figure 123.

Figure 122: Type of operation requested
For each NSA the user can select whether it is Border Station or not by enabling the switch button, as shown in Figure 123: Type of operation requested (Border Station). Upon the Border Station selection, the respective NSA tab will be moved at the end of the NSA tabs sequence and it will be marked with the icon of Figure 124: Border Station. Also, the applicant can select at least one or more services requested which are shown in Figure 122: Type of operation requested and Figure 123: Type of operation requested (Border Station). If the applicant selects the “Passenger transport” or the “Freight transport” button, the system displays the options “Including” and “Excluding” with default value “Excluding”.

<table>
<thead>
<tr>
<th>Type of operation requested (select one or more)*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Select at least one or more services requested</td>
</tr>
</tbody>
</table>

- **Passenger transport**
  - Including high speed services
  - Excluding high speed services

- **Freight transport**

- **Shunting only**

- **Other**

**Rail transport operations**

<table>
<thead>
<tr>
<th>Border station(s) in the selected Member State to which operations are limited *</th>
</tr>
</thead>
<tbody>
<tr>
<td>Text EID</td>
</tr>
</tbody>
</table>

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

The user can add or remove Definition of the area of operation and neighbouring countries as shown in Figure 125: Rail transport operations (the applicant can explain in the text area e.g. the whole network or specific lines, in each Member State where relevant). In case of Border Station NSA the user can add information about the MS to which the operations are limited, as shown in Figure 126: Rail transport operations (Border Station).
The last step in wizard of Scope of application, is the selection of the “Issuing Authority”. If the applicant has selected more than one Member States, only one is allowed to not be characterised as Border Station, in order for this specific one to be allowed to act as issuing authority. In case there are more than one MSs that are not characterized as Border Stations then, by default, the issuing authority is ERA as shown in Figure 127: Issuing Authority.

![Figure 127: Issuing Authority](image)

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

![Figure 128: Language](image)

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

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

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

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

4.2.1.3 Applicant’s Contact Details
In this second step of the wizard as shown in Figure 134: Applicant’s details, the Applicant must fill in information in regard to Applicant’s information and Contact person’s information.
The Applicant must provide the Applicant’s information and address details. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (*).

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

4.2.1.4 Documentary evidence
In this step of the wizard, in the section “SMS Evidence” as shown in Figure 136: Documentary evidence SMS part “New” type of application, the applicant must provide the documentation. The applicant can upload any documents needed for the application by selecting the “+” button relevant to each folder. The documentary evidence provides description of the safety management system and other relevant documents and map them with relevant requirements.
If the applicant selects the options “Update” or “Renewal” in the Type of application as shown in Figure 137: Documentary evidence SMS part “Update or Renewal” type of application, the system displays an extra folder in Documentary evidence wizard the “SMS Description of changes” folder as shown in Figure 137: Documentary evidence SMS part “Update or Renewal” type of application.

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

- Supported file extensions: msg, tiff, bmp, eml, gif, avi, mov, jpeg, jpg, zip, xlsx, wmv, rar, rtf, fodp, fods, png, fodt, docx, pptx, mp4, txt, flv, pdf, ppt, doc, odp, xls, odt, ods.
- Maximum file size 2048MB and bigger than 0KB
**Figure 138: Add file(s)**

**Figure 139: Choose file(s)**
When selecting “Add file(s)” the file(s) selected by the user are uploaded and if successful the message displayed in Figure 140: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 141: Uploaded files.

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded files. If the user wants to edit the title and the description, selects the “Document info” button on the right and the system displays the below screen as shown in Figure 142: “Document info” button for editing.
To move to the next step “Save & next step” is selected as shown in Figure 58: Save and next step, and the form is saved. In addition the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 65: Previous step.

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

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

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

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

The documentary evidence provides additional documents demonstrating how the relevant national rules are met and map them with these rules. The applicant can also upload and delete documents in the relevant folder “Evidence for National Part” by using the relevant buttons on the right and also edit the title and the description of the uploaded files, on the tab “Documents (National part) following the same procedure as described in Documentary evidence.

Also, the user may select two methods on the “Mapping Table of NSA” tab: “Fill in the web form” and “Import Mapping Table file” as shown in Figure 146: Mapping Table (NSA).
In the first option “Fill-in the web form”, the user can use the web form to fill in the Mapping table and specifically, the user can add a reference to the applicable notified national safety rule, can add a headline of the requirement laid down in the applicable notified national safety rule, the title of the document with a name, version etc or link to the uploaded document, and finally can add a reference and a description inside the document as shown in Figure 147: Fill-in the web form screen.

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

In the second option “Import Mapping Table file”, the applicant can upload the filled-in copy of his Mapping Table in the document format, in the folder “Mapping Table” as shown in Figure 148: Import Mapping Table file screen. The process for the uploading files is described in Documentary evidence.
4.2.1.6 Other Administrative Documents
As above, in this step of the wizard, as shown in Figure 149: Other Administrative Documents, the applicant may provide other relevant documents for the application. The applicant can also upload and documents in the relevant folders by using the relevant buttons on the right following the same procedure as describes in Documentary evidence. Also, the applicant can edit the title and the description of the uploaded files by using the button “Document info” on the right.

4.2.1.7 Submit application
In this last step of the wizard the user can review the application form prior to submitting it, as shown in Figure 150: Review application.
The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select “Previous step” as shown in Figure 135: “Previous step” button. To submit the application “Submit” as shown in Figure 151: Submit button.
After the submission, the system sends an Acknowledgement of receipt (PDF letter), which is stored in the “Formal communication” folder of the application Library as shown in Figure 152: Acknowledgment of receipt in application Library. This is a receipt that the submission is successful.

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

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

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

- Facilitating early contact;
- Developing the relationship between assessor(s) and applicant;
- Gaining familiarity with applicant’s safety management system; and
- Verifying that the applicant has been provided with sufficient information to know what is expected, the way the assessment process will be conducted and how decisions will be made.
The pre-engagement stage is not mandatory for the applicant but is recommended as it mitigates potential risks at the assessment stage and facilitates the assessment process itself. If he/she wishes, the applicant can still submit his application for a single safety certificate without pre-engagement. However, if the applicant requests a pre-engagement, the different authorities for the area of operation are required to participate. The application file is the same as in the formal SSC process, but it is not mandatory to submit the Documentation and the Mapping Tables in SSC pre-engagement (PE).

In order to create a SSC pre-engagement (PE), the applicant should select the request pre-engagement option (second option) in Figure 110: Create Certificate application.

4.3 Trackside Approval projects (TA)

4.3.1 Request for ERTMS trackside approval

4.3.1.1 Create a new application

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

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

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

The colour of the progress bar per step indicates if the application is incomplete when there are mandatory fields missing (red colour) or if it is completed and verified by the system (green colour).

There are a number of fields in each step that are flagged as mandatory, having a red asterisk (*) in their label as shown in Figure 156: Mandatory fields.

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

For all the mandatory fields the system expects the user to enter a value, and in case that any of them are not correctly filled by the user, the system identifies the field in error highlights it in red and displays the red alert icon as shown in Figure 158: Alerts and fields in error.
When a user will select to “Submit” the application in the last step of the wizard, if there are forms that are not correctly filled or there are required fields missing, the system displays the message shown in Figure 159: Error message validating the submission of an application, and the relevant wizard step has red colour. The user must return to the relevant step and correct all errors.

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

The Applicant follows the below steps to create an application:

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

### 4.3.1.2 Scope of application

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

![Figure 161: Scope of application](image)

The Applicant must provide the Applicant’s information and address details as shown in Figure 161: Scope of application. Contact person information is already filled in with information that exists as part of the user profile and allows for editing by the user. All mandatory fields are clearly marked by red asterisk (*). In the Authorisation case part, the user is asked to select “Yes” or “No” complemented by any additional comments in three cases, as shown in Figure 162: Authorisation case information.
The applicant selects at least one country by using the “Add/Remove Member state” button. The Member states are selected by radio buttons that can be activated and deactivated as shown in Figure 163: Member State(s) selection.

![Figure 163: Member State(s) selection](image)

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

![Figure 164: Project name](image)
To save and move to the next step of the application file wizard, the applicant may select “Save and next step” button, shown in Figure 165: Save and next step.

![Image](Save and next step)

**Figure 165: Save and next step**

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

![Image](Exit)

**Figure 166: Discard Application-Exit button**

To save the application, the applicant clicks on the “Save” button.

![Image](Save)

**Figure 167: “Save” button**

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

![Image](Warning message about unsaved information loss)

**Figure 168: Warning message about unsaved information loss**

### 4.3.1.3 Application File Documentation

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

![Image](Application Documentation)

**Figure 169: Application Documentation**

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

Figure 171: Choose file(s)
When selecting “Add file(s)” the file(s) selected by the user are uploaded and if successful the message displayed in Figure 172: Successful upload is shown and the relevant file(s) appears in the relevant folder of documentation, as shown in Figure 173: Uploaded file(s).

The user can download and delete the document by using the relevant buttons on the right and also edit the title and the description of the uploaded file by clicking on “Document info” button. The system displays the screen below for editing and allows the user to edit specifically the title and the description of the uploaded file, as shown in Figure 174: Document info- “Edit” button.
To move to the next step “Save & next step” is selected as shown in Figure 165: Save and next step. In addition, the system allows the user to visit the previous step of the wizard by selecting “Previous step” button, shown in Figure 175: Previous step.

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

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

<table>
<thead>
<tr>
<th>Application file item</th>
<th>Documentary evidence (Link to the uploaded document)</th>
<th>Reference and description (Reference inside the document and description)</th>
<th>Comments (Other information about the evidence and/or the reference)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Application scope description (Project description)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Evidence that the draft tender or contract or both include the relevant control command and signalling TSI, and the necessary details on the baseline, releases or versions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Projects plan indicating deliverables, robustness and deadlines of the application</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 List of ERTMS functions to implement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Demonstration that the risks impacting interoperability have been addressed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Engineering rules and operational test scenarios</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Test strategy and test plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Conditions necessary for the technical and operational compatibility of the subsystem with the vehicles intended to operate in the trackside</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 A previous ERTMS trackside authorisation or opinions by an NSA, relevant for the technical solutions envisaged</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 EC Certificates and EC Declerations of conformity of the interoperability conditions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 EC Certificates and EC Declarations of verification of the trackside subsystem</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 National rules related to ERTMS that must be considered in the application scope</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13 Exemption from the application of one or more TSBs or parts of them</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14 Previous approval(s) identification</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Figure 177: Mapping Tables

For each application file item, the user has to provide a clear reference of the relevant part from the documentary evidence covering the item and can provide any additional relevant information in the comments field, as shown in Figure 177: Mapping Tables. The user may reference more than one file for each application file item, by using the “+”. It is possible to remove it by using the “−”. The documentary evidence is a drop-down list that includes all the added files in the previous Application File Documentation step. When the user has finished, he/she can use any of the “Save”, “Save and Next” or “Previous” buttons. To move to the next step “Save & next step” is selected as shown in Figure 165, the form is saved. In addition, the system allows the user to access the previous step of the wizard by selecting “Previous step” button, shown in Figure 175: Previous step.

4.3.1.5 Sign & Submit application

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

Figure 178: Review application

The application form is presented in read-only mode, any changes can only be made in the relevant sections of the application form. To go back to the previous step, select “Previous step” as shown in Figure 135: “Previous step” button. To submit the application selects “Submit” as shown in Figure 151: Submit button.
5 Communication between applicant and assessment team — Management of application issues

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

1. By the assessment team to raise a problem during the assessment process, asking the applicant to provide evidence for resolving it,
2. By the applicant to communicate with the assessment team
3. By the assessment team and addressed to the assessment team, e.g. to communicate differences of opinions or disagreements.

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

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

5.1 Create application issue as applicant

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

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

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

1. Select the button “Comment”;
2. Insert information in the comment textbox;
3. Select the “Add comment” button;
4. Select “Save” (or “Save and exit”).
5.3 **Respond to an application issue that requires the update of the application file**

The system allows the update of an application by the applicant only in response to an application issue that was raised by a member of the assessment team and includes references to the application as shown in Figure 184: Issue containing application references. The update of the application file will be done by the Applicant in a similar manner as in the creation of the application, by updating the application file web forms.
So when an application issue includes requirements references, it indicates that the assessment team requires the update of the contents of the submitted application. The applicant first needs to understand the changes required in the application by reading the description and the comments on each included reference. The applicant should then navigate to the application and identify the changes required. The applicant should then:

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

![Save button](Figure 185: “Save” button)

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

![Submit button](Figure 186: “Submit” button)

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

### 5.4 Request application issue resolution

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

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

Figure 188: Delete a draft application issue