QUICK GUIDE TO THE ONE-STOP SHOP

- SSC issue log for assessors -

In order to access the functions of the OSS, you need to have an updated **Google Chrome** or **Mozilla Firefox** browser.
Using other internet browsers might result in poor performance or errors.

- Issue log allows to record formal communication with an applicant, including:

  Case 1: Request for **clarification** or **supplementary information**

  Case 2: Request for an **update of an information** submitted in the application form

  Case 3: Request for a **submission of a new document** or **a new version of existing document**

- Issues, before their submission, should be **coordinated** within the assessment team and (if applicable) with the relevant NSAs
- Issues shall be communicated in the **language** of the part of application to which they refer to (either SMS or national part)

PRINCIPLES FOR DRAFTING ISSUES

Regulation 2018/763, Annex II, point 4.7

Assessors drafting issues should be specific and help the applicant to understand the level of detail expected in the response, by:

- Referring accurately to the relevant requirement
- Stating why the individual requirement is not met
- Explaining what is expected from the applicant
- Setting a reasonable deadline for compliance

Both the deadline for achieving compliance and further commitments should be agreed in advance with the applicant.

+ Create Issue   Filter by   Columns

Showing 1 - 3 of 3 Issues

	APPLICATION ISSUE	TYPE	STATUS	ISSUE TITLE	
VIEW	S-20200204-002-003	Type 1 (query)	Pending	Scenario 1: Request for clarification of information	1
VIEW	S-20200204-002-002	Type 3 (minor non-compliance or residual concern)	Pending	Scenario 2: Request for update of information provided through a web-form	2
VIEW	S-20200204-002-001	Type 4 (major non-compliance)	Pending	Scenario 3: Request to provide or update a document	3

10 ▾ issues per page   ◁ page 1 of 1 ▷

Application   Application issues   Project team   Dashboard   Assessment   Library   Event Log

+ Create Issue — **1**

Application ID: S-20200204-002

▾ Basic Information

Title * — SCENARIO 1: Request for Clarification of information — **2**

Description * — If you would like an applicant to clarify some information, without updating of an application file, you can log an issue without any reference to specific part of application. In reply to this type of issue, an applicant will provide written answer or a written answer with a document attached directly to the issue. — **3**

Attachments — 🔗 Attach file(s)

▾ Details

Type	Type 1 (query) ▾ **4**	...ated	05-02-2020
Status	Draft	Updated	05-02-2020
Area of use/operation	▾	Due by	29 February 2020 📅 **6**
Creator	Piotr Cukierski (ERA)	Escalated	
Assignee *	Mr. Applicant × ▾ **5**	...rnal	Yes
Stage	▾		

7 ✔ Submit   🖫 Save   🖫 Save & exit   Exit

1. Use the **+ Create Issue** button at the level of the selected application

2. Provide a self-explanatory **title** allowing for an easy identification of the issue

3. Provide clear a **description** of the problem and explanation of what is expected from an applicant, following the principles listed in the red frame of the introductory slide

4. Select the **type** of the issue. The type may be updated at later stage

   - **Type 1** (query)
   - **Type 2** (observation or remark)
   - **Type 3** (minor non-compliance or residual concern for supervision)
   - **Type 4** (major non-compliance)

5. Select an **applicant** as the only assignee of the issue

6. Set the **date** for providing the reply

7. **Save** and **submit** the issue

This method can be also used to request an applicant to attach a document directly to an issue in similar way as an assessor can attach document to the issue before its submission (for details see the next slide). This is recommended if an applicant is not a proficient OSS user.

1. To attach a document to an issue before its submission use the [Attach file(s)] button in the issue screen. The library pop-up window will appear.

2. Choose any of the documents already existing in the library or

3. Upload a new document to a relevant issue using:

   - [+] button to add a new document
   - [+] button to add new version of the document

3. Select the existing or uploaded document using tick-box ✔

4. Attach it using the [Attach file(s)] button at the **bottom** of the window

5. In the next step **[SAVE]** and **[SUBMIT]** the issue.

If an issue requires an **update of information** provided through the web form (e.g. scope of application, applicant's details, SMS mapping table) or **submission of a new document** / **update of the existing document** there are two possible options:
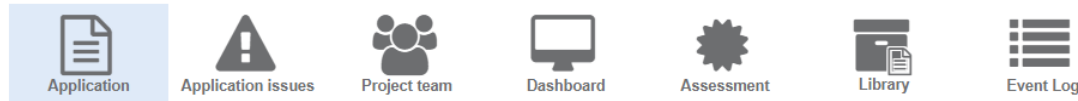
Method 1:

1. Use tick boxes ☑ to select the part(s) of the application in which the information is to be updated or to select folder(s) in which new document(s) or new version of document(s) should be uploaded (e.g. SMS or national evidence).

2. To create an issue in relation to the type of operation, the definition of the intended area of operation or the border station(s) in a specific Member State, use the drop down list [Czech Republic ▼] and select the Member State concerned first, and then using tick-box(es), select the information to be updated.

3. Push the button [+ Create Issue] and follow the steps from 2 to 7 explained on previous slides for the Case 1. Selected parts of application will be visible in the issue screen as references (see below).

Irrespective of the selected method, please use the free text box (next to the reference) to be more specific about what you expect to be changed.

If an issue requires an **update of the information** provided through the web-form (e.g. scope of application, applicant's details, SMS mapping table) or **submission of a new document** / **update of the existing document** there are two possible options:

Method 2:

1. Use the button [+ Create Issue] in the application view.

2. In the issue screen, use the button [Select reference(s)] to open a pop-up window with a preview of an application and select the information to be updated.

3. After selecting the information to be updated, **remember to scroll down the page to the bottom** and use the [OK] button to return to the issue screen.

   In the issue screen follow the steps from 2 to 7 explained on the previous slides for Case 1. Selected parts of the application will be visible in the issue screen as references (see below).

Please remember to use for each issue only one method for selecting part(s) of the application to be updated. Mixing the two methods may result in losing information previously captured in the issue.

Irrespective of the selected method, please use the free text box (next to the reference) to be more specific about what you expect to be changed.

If an issue is replied to correctly by an applicant the status of the issue on the list of issues changes from pending to **responded**. For each issue check if an applicant has:

- provided the expected answer in the **responses / comments** part of the issue
- updated the relevant part of an application (if applicable)

If the answer is not satisfactory, ask an applicant for clarification using the **responses / comments** part of the issue form or close the issue with a status „**closed out**" and create another one referring to the same problem.

If part of the answer is missing (e.g. response is provided but the application file is not updated), contact the applicant outside the one-stop shop, to check if he has correctly followed the required steps:

- updating of the information in the application file (if applicable)
- saving and submitting the updated information
- responding to an issue
- asking for a resolution

If the steps have not been followed correctly, you may either:

- Ask the applicant to follow the correct steps using the **responses / comments** part of the issue form or
- close an issue with a status „closed out" and create another one referring to the same problem.

Information provided through **responses / comments** inside the issue form is not followed by any notification or a change of the status of an issue.
An assessor should inform an applicant about it outside the OSS.

1. Based on the response to an issue provided by the applicant (or lack of response), decide on the **resolution of an issue** selecting one of the possible options:

   - **Closed out**: issues for which an answer given by the applicant is <u>satisfactory</u>

   - **Closed out with restrictions or conditions of use**: issues for which limitation of the validity period of the certificate or limitation concerning the type or the area of operation is necessary to issue the single safety certificate

   - **Residual concerns for supervision**: issues for which action plans have to be established by the applicant after the issuing of the single safety certificate

   - **Pending**: issues for which an <u>answer has not been provided</u> or <u>is not satisfactory</u>

2. In the text box **resolution description**, for each of the issues, provide justification for the decision or additional information

3. Save the resolution with the [✔ Save] button

4. Close the issue with the [Close issue] button

All the issues need to be closed with the [Close issue] button before taking the decision on the issuing of the certificate or rejection of the application. ⚠️

The issue resolution can be set irrespectively of the type of issue. For example resolution „residual concern for supervision" may be selected both for issues Type 2 (observation or remark) as well as for issues Type 3 (residual concern for supervision). However, Type 2 issues should not be left in resolution „pending". ⚠️

THANK YOU
FOR FOLLOWING THESE HINTS