

# How to prepare an application for authorisation

April 2024

# ABC

## Changes to this document

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|         | First version                                                                                                                                                                            |

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## Table of Contents

|                                                                       |           |
|-----------------------------------------------------------------------|-----------|
| <b>Changes to this document.....</b>                                  | <b>2</b>  |
| <b>Table of Tables .....</b>                                          | <b>6</b>  |
| <b>1. Introduction .....</b>                                          | <b>7</b>  |
| 1.1. Objective.....                                                   | 7         |
| 1.2. Overview of the preparation and the submission of a dossier..... | 7         |
| 1.3. Information required for an application for authorisation.....   | 8         |
| 1.4. Checks performed by ECHA on the submitted dossiers .....         | 9         |
| 1.4.1. The Validation assistant.....                                  | 9         |
| 1.5. The main features of the IUCLID web user interface.....          | 10        |
| 1.5.1. The Dashboard .....                                            | 10        |
| 1.5.2. The Substances list page .....                                 | 12        |
| 1.5.3. The Dataset page.....                                          | 13        |
| 1.5.4. The Dossier header .....                                       | 15        |
| 1.5.5. Confidentiality flags.....                                     | 15        |
| 1.6. The functionalities of IUCLID .....                              | 15        |
| <b>2. Legal entity .....</b>                                          | <b>16</b> |
| 2.1. How to update and synchronise the LEO information .....          | 17        |
| <b>3. Legal entity sites (Sites) .....</b>                            | <b>18</b> |
| 3.1. Creating a Legal entity site .....                               | 19        |
| <b>4. Contact.....</b>                                                | <b>20</b> |
| 4.1. Creating a contact .....                                         | 20        |
| <b>5. Reference substance .....</b>                                   | <b>22</b> |
| 5.1. Creating a reference substance .....                             | 22        |
| <b>6. How to create a substance dataset.....</b>                      | <b>25</b> |
| 6.1. Copy/update from a registered substance dataset.....             | 28        |
| 6.2. Multi-substances dossier - Category approach .....               | 28        |
| 6.3. Multi-applicants dataset – Joint application.....                | 29        |
| 6.4. Section 1 General information .....                              | 29        |
| 6.4.1. Section 1.1 Identification .....                               | 30        |
| 6.4.2. Section 1.2 Compositions.....                                  | 32        |
| 6.4.3. Section 1.3 Identifiers .....                                  | 38        |
| 6.4.4. (Optional) Section 1.4 Analytical information .....            | 40        |
| 6.4.5. (Optional) Section 1.5 Joint submission.....                   | 41        |
| 6.4.6. Section 1.7 Suppliers.....                                     | 42        |
| 6.4.7. (Optional) Section 1.8 Recipients .....                        | 43        |
| 6.5. Section 2 C&L and PBT assessment.....                            | 43        |
| 6.5.1. (Optional) Section 2.1 GHS .....                               | 43        |

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|                                                                                                          |           |
|----------------------------------------------------------------------------------------------------------|-----------|
| 6.6. Section 3 Manufacture use and exposure .....                                                        | 43        |
| 6.6.1. (Optional) Section 3.2 Estimated quantities.....                                                  | 43        |
| 6.6.2. (Optional) Section 3.3 Sites.....                                                                 | 44        |
| 6.6.3. (Optional) Section 3.4 Information on mixtures .....                                              | 44        |
| 6.6.4. Section 3.5 Use and exposure information.....                                                     | 44        |
| 6.6.5. (Optional) Section 3.6 Uses advised against .....                                                 | 48        |
| 6.6.6. (Optional) Section 3.7 Environmental assessment from aggregated sources.....                      | 48        |
| 6.6.7. Section 3.10 Application for authorisation of uses.....                                           | 49        |
| 6.7. (Optional) Sections 4 to 7 - Endpoint sections .....                                                | 53        |
| 6.8. (Optional) Section 8 Analytical methods.....                                                        | 54        |
| 6.9. (Optional) Section 11 Guidance on safe use .....                                                    | 54        |
| 6.10. (Optional) Section 12 Literature search .....                                                      | 54        |
| 6.11. Section 13 Assessment reports .....                                                                | 55        |
| 6.11.1. Section 13.1 Chemical Safety Report (CSR) .....                                                  | 55        |
| 6.11.2. Summary of risk management measures (RMMs) and operational conditions (OCs).....                 | 56        |
| 6.11.3. Other supporting documentation .....                                                             | 56        |
| <b>7. How to create a Dossier .....</b>                                                                  | <b>56</b> |
| 7.1. Name of the dossier .....                                                                           | 58        |
| 7.2. Specific submissions.....                                                                           | 58        |
| <b>8. How to export a Dossier .....</b>                                                                  | <b>58</b> |
| <b>9. Submit Dossier .....</b>                                                                           | <b>59</b> |
| <b>10. How to submit a joint application .....</b>                                                       | <b>59</b> |
| 10.1. Submitting applicant submits joint application dossier.....                                        | 59        |
| 10.2. Submitting applicant provides company specific information .....                                   | 60        |
| 10.3. Submitting applicant sends security token and name of the application to co-applicants .....       | 61        |
| 10.4. Co-applicant joins the joint application.....                                                      | 62        |
| 10.5. Co-applicant provides company specific information.....                                            | 62        |
| 10.6. Submitting applicant confirms the scope of joint application.....                                  | 64        |
| 10.7. Joint application page for submitting and co-applicant.....                                        | 64        |
| 10.7.1. Overview section:.....                                                                           | 64        |
| 10.7.2. Scope of the joint application for authorisation.....                                            | 64        |
| 10.7.3. Uses applied for authorisation .....                                                             | 65        |
| 10.8. Search joint applications .....                                                                    | 66        |
| <b>11. Receiving your submission number .....</b>                                                        | <b>66</b> |
| <b>12. Next steps: the opinion and decision making procedure .....</b>                                   | <b>67</b> |
| <b>13. Specific submissions.....</b>                                                                     | <b>68</b> |
| 13.1. Requested update (to bring the application in conformity) .....                                    | 68        |
| 13.2. Spontaneous update.....                                                                            | 68        |
| 13.3. Subsequent application .....                                                                       | 69        |
| 13.4. Review report.....                                                                                 | 70        |
| <b>14. Annex 1. Overview of the business rules checks performed by ECHA on the submitted dossiers 71</b> |           |

## Table of Figures

|                                                                                                                                              |    |
|----------------------------------------------------------------------------------------------------------------------------------------------|----|
| Figure 1: The Dashboard and its icons.....                                                                                                   | 10 |
| Figure 2: View of the main menu.....                                                                                                         | 11 |
| Figure 3: The Substances list page .....                                                                                                     | 12 |
| Figure 4: The Dataset page of a Substance dataset with the working context (submission type)<br>"REACH Registration above 1000 tonnes" ..... | 13 |
| Figure 5: Add a remark to a Justification for deviation field .....                                                                          | 14 |
| Figure 6: Filling in repeatable blocks by downloading and importing CSV files .....                                                          | 14 |
| Figure 7: Field specific help.....                                                                                                           | 16 |
| Figure 8: Add more legal entities from the main menu .....                                                                                   | 16 |
| Figure 9: Add more legal entities from the dataset.....                                                                                      | 17 |
| Figure 10: Link to Sites inventory from within the dataset .....                                                                             | 18 |
| Figure 11: Create a new Legal entity site.....                                                                                               | 19 |
| Figure 12: Link to Contact inventory from within the dataset .....                                                                           | 20 |
| Figure 13: Create a new Contact .....                                                                                                        | 21 |
| Figure 14: Open the list page for Reference substances .....                                                                                 | 23 |
| Figure 15: The list page for Reference substances .....                                                                                      | 23 |
| Figure 16: How to get further support on the use of fields .....                                                                             | 25 |
| Figure 17: Substances page - list of substances .....                                                                                        | 26 |
| Figure 18: View of substance dataset with complete table of content (TOC) .....                                                              | 26 |
| Figure 19: An example of selecting the template from the picklist .....                                                                      | 27 |
| Figure 20: Degree of purity.....                                                                                                             | 34 |
| Figure 21: Constituent .....                                                                                                                 | 34 |
| Figure 22: Unknown impurities .....                                                                                                          | 35 |
| Figure 23: Additive.....                                                                                                                     | 36 |
| Figure 24: Analytical determination .....                                                                                                    | 41 |
| Figure 25: Providing a reference to the exposure scenario for a use applied for .....                                                        | 48 |
| Figure 26: Description of the "Use concerned by the request" and link to IUCLID section 3.5 ...                                              | 50 |
| Figure 27: Dossier header page with 'Create dossier' and 'Advanced settings' buttons.....                                                    | 57 |
| Figure 28: Related to a joint application .....                                                                                              | 60 |
| Figure 29: Uses and sites .....                                                                                                              | 61 |
| Figure 30: Join existing application for authorisation .....                                                                                 | 62 |
| Figure 31: Name and token .....                                                                                                              | 62 |
| Figure 32: Uses and sites .....                                                                                                              | 63 |
| Figure 33: Join application page - scope of the joint application.....                                                                       | 65 |
| Figure 34: Joint application page - uses applied for authorisation .....                                                                     | 66 |

## Table of Tables

|         |                                                                            |    |
|---------|----------------------------------------------------------------------------|----|
| Table 1 | Identifiers to be reported in the dossier.....                             | 36 |
| Table 2 | Checklist: minimum information needed to identify "uses applied for" ..... | 70 |
| Table 3 | Checklist: minimum assessment reports needed.....                          | 71 |
| Table 4 | Checklist: Legal entities and mapping .....                                | 71 |
| Table 5 | Checklist: contact information .....                                       | 72 |

## 1. Introduction

### 1.1. Objective

The purpose of this manual is to assist in the preparation of an application for authorisation and its submission to the European Chemicals Agency (ECHA). More particularly it outlines the IUCLID sections and fields to be filled-in in order to prepare an application according to Title VII of REACH.

It should be noted that the aim of this manual is to help the applicants to identify which of the numerous IUCLID fields are of prime importance for a successful submission of an application: all the "mandatory" sections (see chapter *How to create a substance dataset*) need to be filled-in to enable ECHA to process the application. The generated IUCLID application for authorisation dossier can then be submitted to ECHA through REACH-IT.

Instructions in this manual cover applications made by one or several persons (legal entities), applying for one or several uses for one or several substances.

For more details on the authorisation process, you can consult:

- the section on "How to apply for authorisation" (which includes also formats for the various documents) available at: <http://echa.europa.eu/web/guest/applying-for-authorisation>
- the Q&As available at: <https://echa.europa.eu/support/qas-support/browse/-/qa/70Qx/view/scope/REACH/Authorisation>
- the *Guidance on preparation of an application for authorisation* at: <http://echa.europa.eu/guidance-documents/guidance-on-reach>
- the *Guidance on Socio-Economic Analysis-Authorisation* at: <http://echa.europa.eu/guidance-documents/guidance-on-reach>

This manual assumes that IUCLID has been installed, that you are using the web user interface and that you have a valid ECHA account. Please note that the classic user interface (IUCLID client) is being phased-out. Instructions in how to run the classic user interface are provided in the IUCLID website at: <https://iuclid6.echa.europa.eu/>.

More information about the different functionalities in IUCLID and how to use those functionalities can be found in the help system of IUCLID (see chapter 1.6 *Functionalities of IUCLID*). The manual also assumes that you have all relevant information available.

### 1.2. Overview of the preparation and the submission of a dossier

A IUCLID dossier is non-editable snapshot file of a substance dataset, containing the information to be submitted to ECHA. The steps below indicate the approach for the preparation of an application for authorisation dossier in IUCLID:

- Step 1.** Sign-up in REACH-IT and create the *Legal entity* for the applicant (see Chapter *Legal entity*).
- Step 2.** Create in IUCLID the *reference substances* related to the Annex XIV substance (see Chapter *Reference substance*).

- Step 3.** Create in IUCLID the *substance dataset* for the Annex XIV substance (see Chapter *How to create a substance dataset*)
- Step 4.** Enter information in the substance dataset on the Annex XIV substance (see Chapter *How to create a substance dataset*).
- Step 5.** Create an application for authorisation dossier in IUCLID (see Chapter *How to create a dossier*).
- Step 6.** Export the application for authorisation dossier from IUCLID (see Chapter *How to export a Dossier*).
- Step 7.** Submit the application for authorisation dossier to ECHA via *REACH-IT* (see Chapter *Submit dossier and How to submit a joint application*)

### 1.3. Information required for an application for authorisation

The following information is required in an application for authorisation dossier:

- identity of the applicant(s), i.e. name, contact details (REACH-IT account, web-form);
- contact person of the applicant(s) (REACH-IT account, web-form);
- identity and composition of the substance(s) as referred to in section 2 of Annex VI to REACH (web-form, IUCLID – sections 1.1, 1.2 and 1.3);
- the use(s) for which the applicant(s) applies for authorisation (web-form, IUCLID – sections 3.5 and 3.10);
- general information on the exposure scenario(s) covering the use(s) for which the applicant(s) applies for authorisation (section 3.5);
- a chemical safety report (CSR) in accordance with Annex I covering the risks to human health and the environment from the use of the substance arising from the intrinsic properties specified in Annex XIV (IUCLID – section 13). Alternatively, reference to a registration dossier which includes such a CSR can be provided (IUCLID – section 1.3);
- Public versions of the exposure scenario(s) (sections 9 and 10 of the CSR) covering the use(s) for which the applicant(s) applies for authorisation (if the version provided in the CSR is deemed confidential) (IUCLID – section 13);
- an analysis of the alternatives, including also a public version (if the complete version provided is deemed confidential) (IUCLID – section 3.10);
- a substitution plan if relevant, including also a public summary (IUCLID – section 3.10);
- a socio-economic analysis if relevant, including also a public version (if the complete version provided is deemed confidential) (IUCLID – section 3.10);
- a summary of risk management measures (RMMs) and operational conditions (OCs) (public document) (IUCLID - section 13)
- a justification for not considering certain risks if relevant (IUCLID – section 3.10);
- reference(s) to other applications or previous authorisations if relevant (IUCLID – sections 1.3 and 3.10);
- name and address of the non-EU company represented by an applicant (relevant for Only Representatives) (IUCLID - section 1.7);
- argumentation for substance grouping (access category object through IUCLID – section 0.2);
- information on scale of the use applied for (i.e. if it covers applicant's own sites and/or downstream users' sites) and number of sites covered for each "use applied for" (IUCLID-section 3.10).

The following information is not specifically required. You can nevertheless provide it on a voluntary basis in the relevant IUCLID sections (indicated in brackets):

- analytical information for the substance (IUCLID – section 1.4);
- information on the classification and labelling (IUCLID – section 2.1);
- information on mixtures containing the substance (IUCLID –section 3.4);



- endpoints information (IUCLID – section 4 to 7)
- information on the estimated quantities (IUCLID – section 3.2);
- information on use sites (IUCLID – section 3.3);
- information on the uses advised against (IUCLID – section 3.6);
- information on environmental assessment from aggregated sources (IUCLID – section 3.7);
- information on the recipients (IUCLID – section 1.8);
- information on analytical methods (IUCLID – section 8);
- information on the literature search (IUCLID – section 12).

To correctly file an application for authorisation, it is important to firstly understand concepts such as of legal entity, substance, reference substance, substance dataset, and dossier in IUCLID. These concepts, as well as the general functionalities of IUCLID are explained in the first chapters of this manual. If you are already a proficient user of IUCLID and know how to create a legal entity, reference substances and substance dataset, we advise you to go directly to chapter 7 of this manual, where you will find information on how to fill-in your application for authorisation dossier.

## 1.4. Checks performed by ECHA on the submitted dossiers

All dossiers submitted to ECHA undergo initial technical and administrative checks in order to ensure that they can be handled properly and that the subsequent required regulatory processes can be successfully carried out. Such checks are called business rules (BR).

A dossier can be accepted for processing only if all of the relevant business rules, such as format verification and availability of administrative information are satisfied.

For more information on the business rules check refer to the Annex: *Overview of the business rules checks performed by ECHA on the submitted dossiers*.

### 1.4.1. The Validation assistant

The *Validation assistant* (VA) has been developed to enable you to perform some checks on the dossier before you submit it to ECHA via REACH-IT.

Therefore, before the submission, we strongly advise you to use the *Validation assistant* in two steps:

- To check your substance dataset (before the IUCLID dossier is created) to be able to correct any failures reported at this level.
- To check the final IUCLID dossier and address any issues identified in this step.


Using the *Validation assistant* in both steps is vital for you to minimise any unnecessary failures and potential rejection of your submission.

For instructions on how to run the *Validation assistant*, refer to the help system of IUCLID.

The validation assistant will only check your dossier for some, but not all the business rules applicable for applications for authorisation.

## 1.5. The main features of the IUCLID web user interface

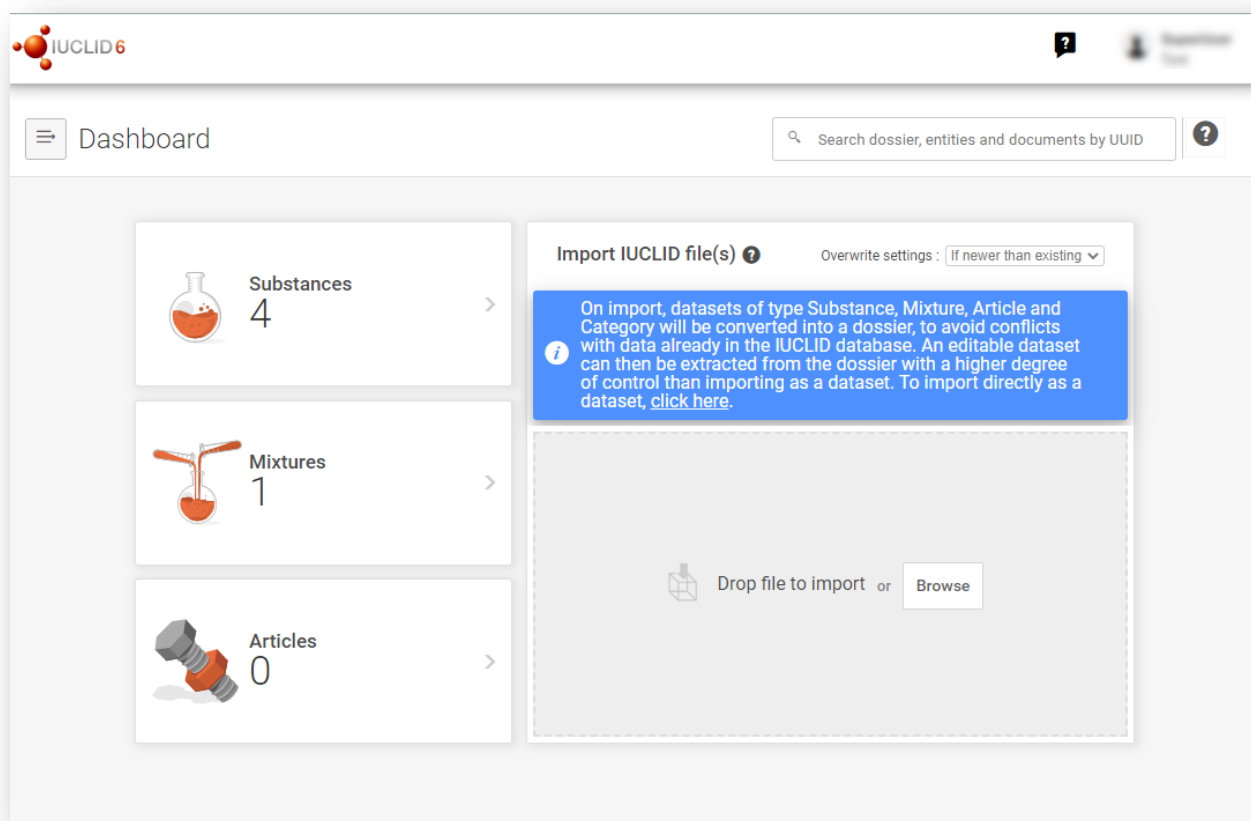
In this chapter an overview of the IUCLID web user interface's main new features is presented.


Please note that the features introduced here below are not an exhaustive representation of the IUCLID web user interface. Only the most used features of the web interface for preparing dossiers for submissions to ECHA are covered. For an overview of all the features included in the IUCLID web user interface please refer to the help system of IUCLID that can be accessed from anywhere in the application by clicking the round question mark icon  displayed in the top-left corner of the screen (see chapter *The functionalities of IUCLID*).


### 1.5.1. The Dashboard

The *Dashboard* is the page shown upon starting IUCLID with the web interface.

**Figure 1: The Dashboard and its icons**



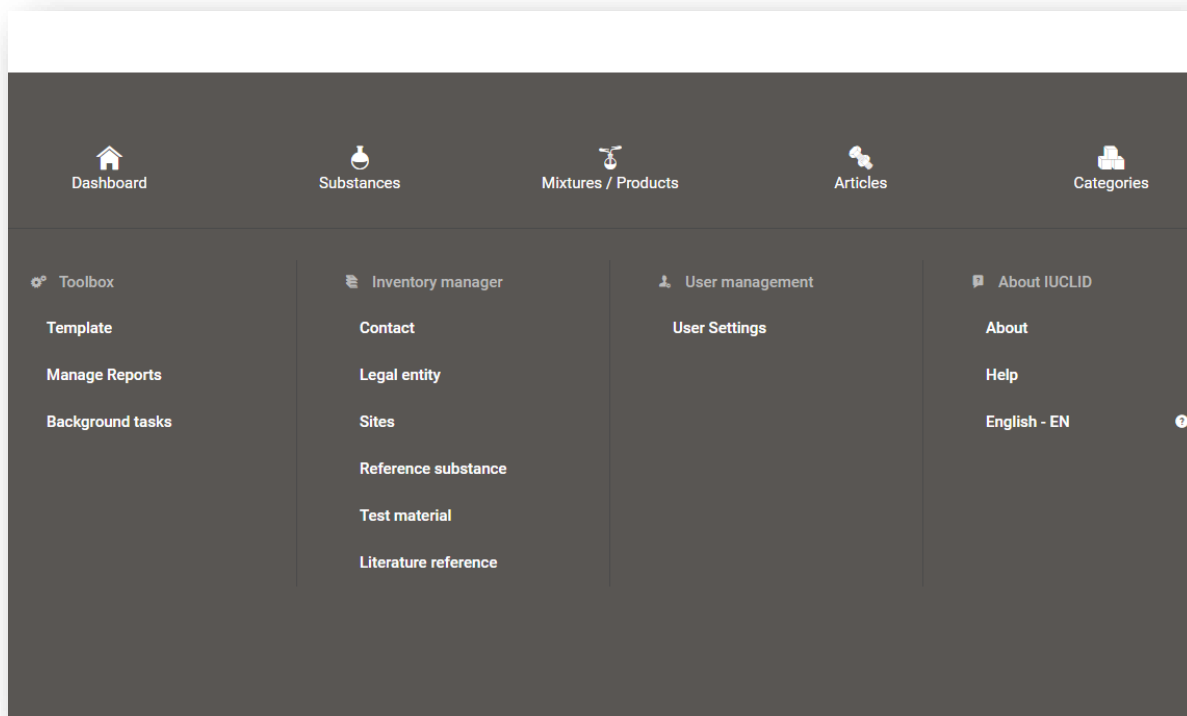
 The squared question mark icon allows you to easily access to a list of supporting material for IUCLID such as manuals, Q&As and video tutorials.

 The round question mark icon next to the search bar opens the help system of IUCLID, a user manual presenting in detail the functionalities of IUCLID in the web interface.



The three dashes icon is the link to the Main menu, which contains direct links to list of entities and to functionalities that do not necessarily need the context provided by the data window.

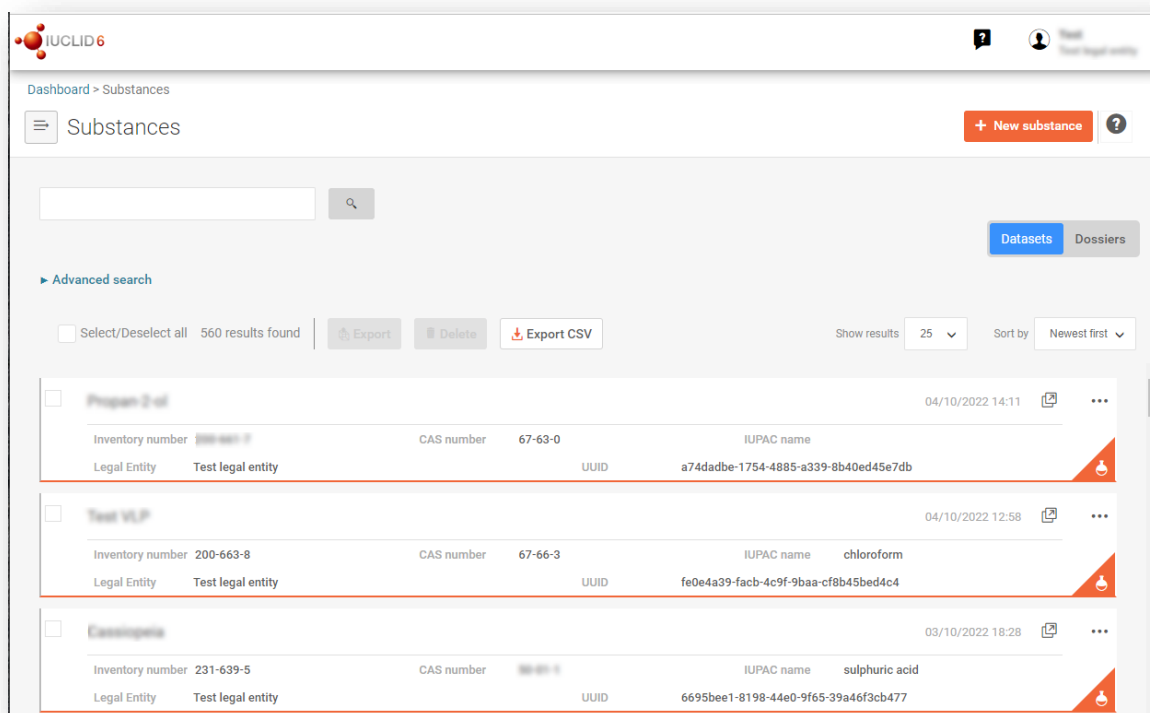
**Figure 2: View of the main menu**



The widgets for *Substance*, *Mixtures* and *Articles* lead to lists of existing substances, mixtures and articles and the option to create new ones. The windows for *Substances*, *Mixture* and *Articles* that open by clicking on the widgets can each display either datasets or dossiers based on these entities.


## 1.5.2. The Substances list page


Figure 3: The Substances list page



**Datasets** **Dossiers** This button displayed in the *Substances*, *Mixtures* and *Articles* list pages allows switching between the display of datasets and dossiers.

**Export CSV** This button allows you to export the full list of results in the substances list page as a CSV file.

 In the *Substances* and *Mixtures* and *Articles* list pages, the orange icon with a bottle indicates datasets. The datasets represent the editable data related to a particular substance, mixture or article from which a dossier can be created.

 The purple icon with a lock instead indicates dossiers. Dossiers represent the data related to a particular substance, mixture or article at a snapshot in time. Dossiers cannot be edited and are the format in which the data is submitted to ECHA.

... The button labelled with three dots allows sharing, deleting and cloning an entity (substance, mixture or article) from the list. Please note that another button labelled with three dots is also displayed in the top of each Dataset page. For the functionalities included in the three dotted button of the Dataset page please see the following subchapter.

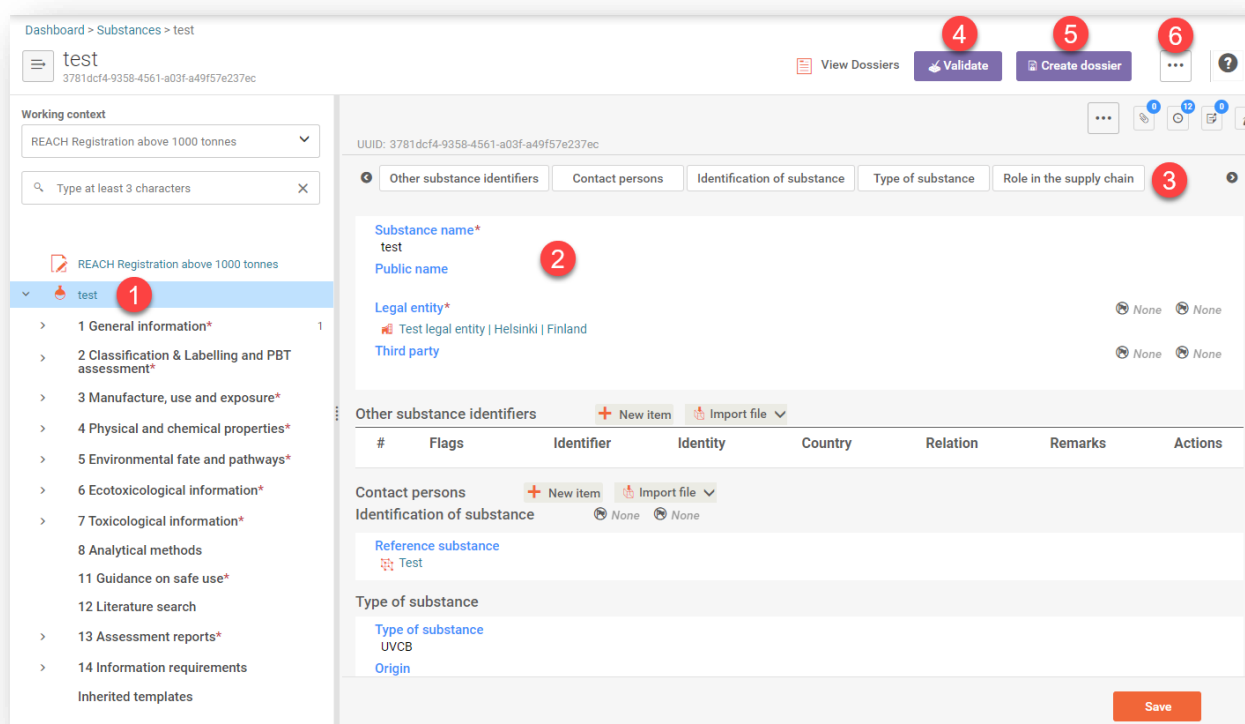
test 2 By selecting the checkbox next to the datasets you will be able to export or delete the

selected dataset. More than one dataset can be selected in one instance.

From the *Substances*, *Mixtures* and *Articles* list you can access both datasets and dossiers. To open a dataset click on the selected substance among those displayed in the list. The page that opens up is the *Substance dataset page* (see Figure below).

### 1.5.3. The Dataset page

**Figure 4: The Dataset page of a Substance dataset with the working context (submission type) "REACH Registration above 1000 tonnes"**

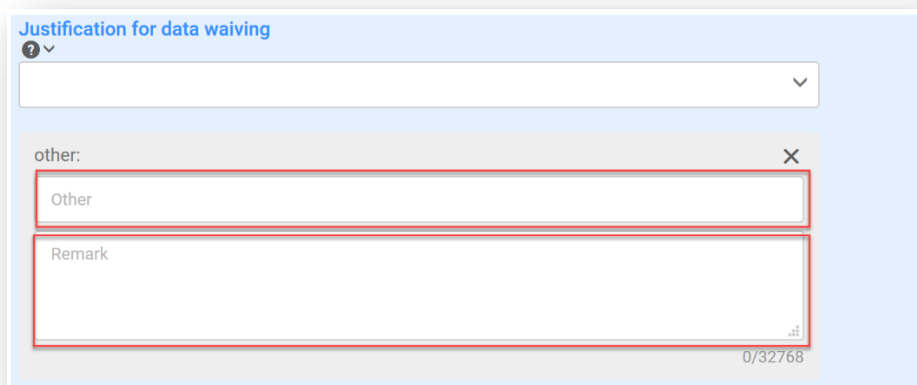


Depending on the *working context* (submission type) selected, IUCLID automatically displays the table of contents containing all sections that are relevant. The table of content is displayed as a navigation panel on the left hand side of the screen (1).

The content of the dataset can be modified by filling the data of the fields of the various sections (2). The tabs at the top of the dataset page help to navigate through the dataset page taking you to directly to the section indicated on the tab (3).

The fields to be filled in are either free-text fields or picklist fields.

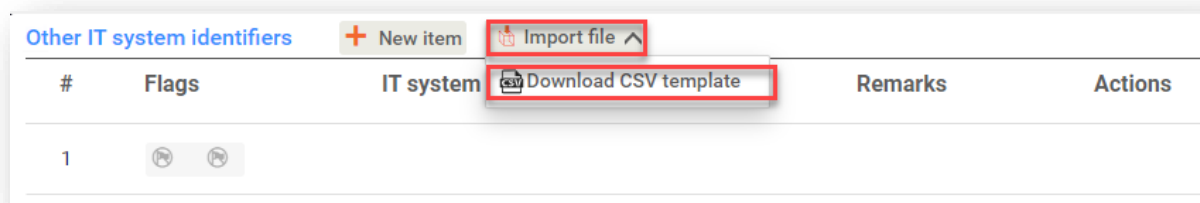
Some picklist fields - when the option 'other' is selected - the possibility to add a *remark* (See figure below).



**Figure 5: Add a remark to a Justification for deviation field**

In certain free-text fields it is possible to insert a template containing suggestions on the information required for the field. To open the free-text template, click on the icon that shows the letter A with an arrow at the bottom right, displayed above the selected field [Insert existing templates](#).

Repeatable blocks such *Other IT system identifiers* in figure 6 can be filled in:

1. By clicking the [+ New item](#) button, clicking on the generated row and manually fields in the pop up window.
2. By downloading the CSV template for that specific repeatable block, filling in the excel file with your data and importing the excel file in the repeatable block. This option is recommended for those cases in which many rows need to be created.

**Figure 6: Filling in repeatable blocks by downloading and importing CSV files**

| # | Flags                                                                                                                                                                   | IT system | Remarks | Actions |
|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|---------|
| 1 |   |           |         |         |

#### Validate

The Validation assistant on a dataset is run by clicking on the button labelled *Validate* (4), which is shown at the upper right of the substance dataset page. The validation assistant can be run also on a dossier by clicking the *Validate* button on the dossier page.

#### Create dossier

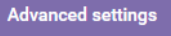
Dossier creation is started by clicking on the button *Create dossier* (5).



With the button labelled with three dots (6) at the right top of the Dataset page the following functions can be accessed: *Export to i6z*, *Create document PDF/RTF*, *Create component PDF/RTF*, *Generate report*, *Compare*, *Clone and Copy data from* and *Bulk Deleting*.

#### 1.5.4. The Dossier header

The page opening when clicking the *Create dossier* button is the *Dossier header*.

From the *Dossier header* page you can either use default settings and create your dossier by clicking on *Create dossier* at the foot of the page or access the *Advanced settings* for dossier creation by clicking on the related button  displayed next to *Create dossier*. The *Advanced settings* allow for example to include or exclude the *Legal entity* that is attached to the *Substance*, *Mixture* or *Articles*, or to select the documents to be included in the dossier outside of the default based on the submission type.

#### 1.5.5. Confidentiality flags

A flag icon to the left of the name of a field or section indicates whether a flag can be set, whether it has been set, and whether it involves confidentiality or is a regulatory programme flag for filtering information. The icons are described here below.



No flag is set;




A regulatory programme flag is set which does not involve confidentiality;



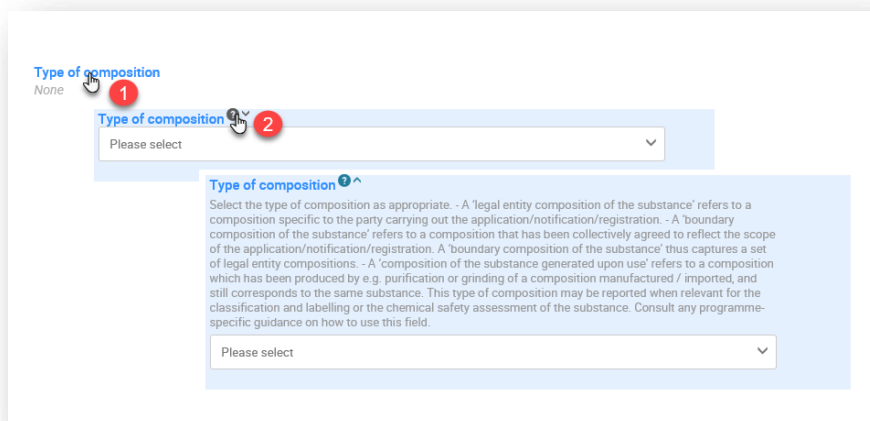
A flag is set that involves confidentiality.

### 1.6. The functionalities of IUCLID

The functionalities of IUCLID are described in detail in the help document *Functionalities of IUCLID in the web interface*. To access the *Functionalities of IUCLID* document, click the icon  displayed on the top right corner of any page inside the interface and you will be able to open the IUCLID user manual. From there it is possible to navigate to the specific help required.

For specific support on how fields should be filled in within IUCLID, click on the question mark icons next to the field headers. Please note that the question mark icon will appear only after hovering with the cursor over the selected field, as shown here below.

**Figure 7: Field specific help**



## 2. Legal entity

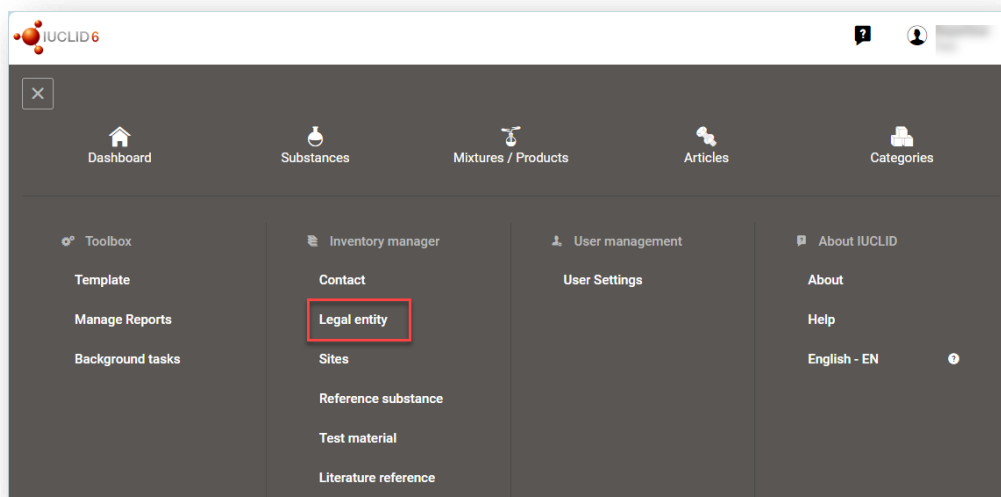
Submissions to ECHA are done by *Legal entities* which have to be defined including contact details prior to submission. The contact details of the company are stored as a *Legal Entity Object (LEO)*. You can create a LEO both in IUCLID and in the *ECHA accounts* available at <http://idp.echa.europa.eu/ui/>.

Note that ECHA will use only the contact details of the legal entity that you have registered in the ECHA accounts or in REACH-IT.

You have already created one legal entity when you installed IUCLID. You can add more legal entities either:

1. By clicking on *Legal entities* from the main Menu.

**Figure 8: Add more legal entities from the main menu**





2. From the point where the Legal entity is referred to in a dataset.

**Figure 9: Add more legal entities from the dataset**



However, ECHA will not enforce the consistency between the IUCLID legal entity and the ECHA accounts legal entity.

Please note that by the default settings the legal entity is not included in the dossier. If you wish to include the legal entity in your dossier, you can change the default settings during the dossier creation (see chapter *How to create a Dossier*).

If you include a legal entity in the dossier which will be submitted to ECHA it may be beneficial to check if the legal entities in IUCLID and REACH-IT are the same. For further information on how to create a Legal Entity Object (LEO) and how to synchronise it between IUCLID and REACH-IT, refer to the next chapter.

## 2.1. How to update and synchronise the LEO information

To register your legal entity, you should sign-up into the *ECHA accounts* where you can enter and administer your legal entity information.

When you create a LEO, a numeric identifier called *Universal Unique Identifier (UUID)* is generated. Example of a legal entity UUID: *IUC5-a620a92d-32c6-426a-b6ee-fc338cde0932*.

The *UUID* is different for each LEO, even within the same company in case the company has several LEOs.

You can synchronise the legal entity between IUCLID and REACH-IT by exporting your LEO from ECHA accounts or REACH-IT. You can then import the file into IUCLID. It may be beneficial that the UUID is identical between all the applications where the company identity appears (IUCLID, REACH-IT, any web forms submitted to ECHA). Alternatively, if you have not yet created your ECHA account, you may export the LEO from IUCLID and import the file to ECHA accounts when you create an account. Note that a LEO can be imported to ECHA accounts only while you create an account, and not to an existing ECHA account.

To compare the UUIDs between the applications, you can find them inside each application by following the below paths:

- IUCLID: Main Dashboard menu > Legal entity > find your legal entity.

- ECHA Accounts: Legal Entity tab > General information > Legal Entity UUID
- REACH-IT: Menu > Company information > General information > UUID

For more information on the ECHA account management refer to the ECHA accounts manual available at <https://echa.europa.eu/manuals>.

### 3. Legal entity sites (Sites)

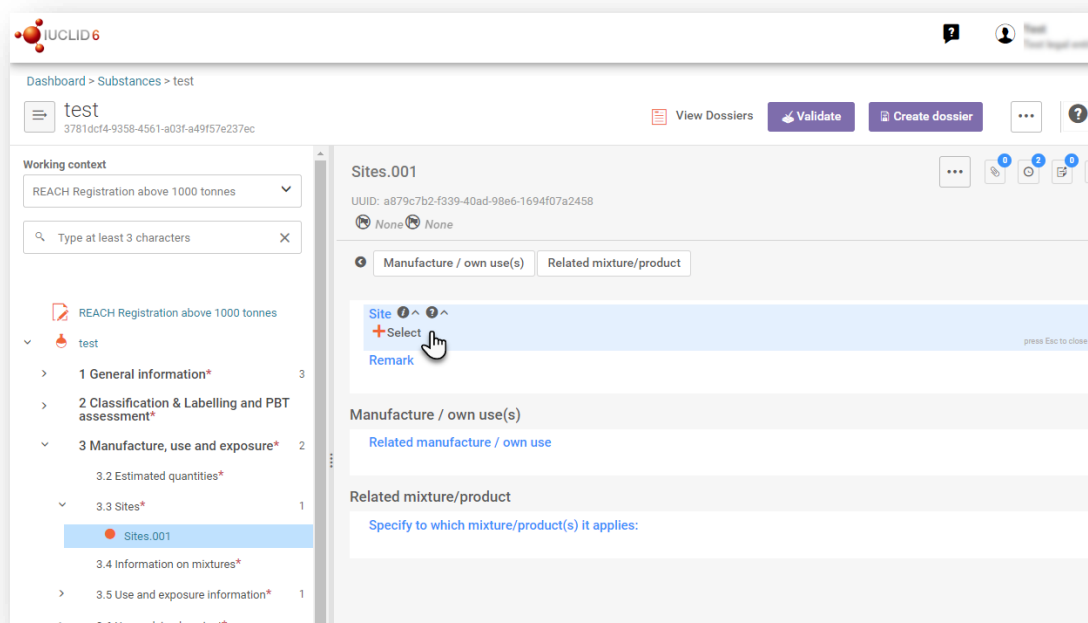
A *Legal entity site (Site)* is an entity where you can indicate the site where manufacture or own use of your substance takes place. This information includes the name of the site, the address and other contact details of the site, and the possibility to include the identifiers of the site under *Other IT system identifiers*. The *Legal entity site* belongs to only one *Legal entity owner*.

Note that it is not possible to create a *Legal entity site* without linking it to a legal entity, but it is possible to modify the link between a *Site* and its legal entity owner by selecting another legal entity from your inventory. More than one *Site* can be associated with the same legal entity.

The creation and editing of a site is done either:

1. from the list page of *Sites* which can be accessed from the main menu;
2. from the point where the *Site* is referred to in a dataset. To create a new site from the point where the *Site* is referred to in a dataset click on *Select* in the *Site* field as shown below. The link will take you to the *Site* inventory.

**Figure 10: Link to Sites inventory from within the dataset**

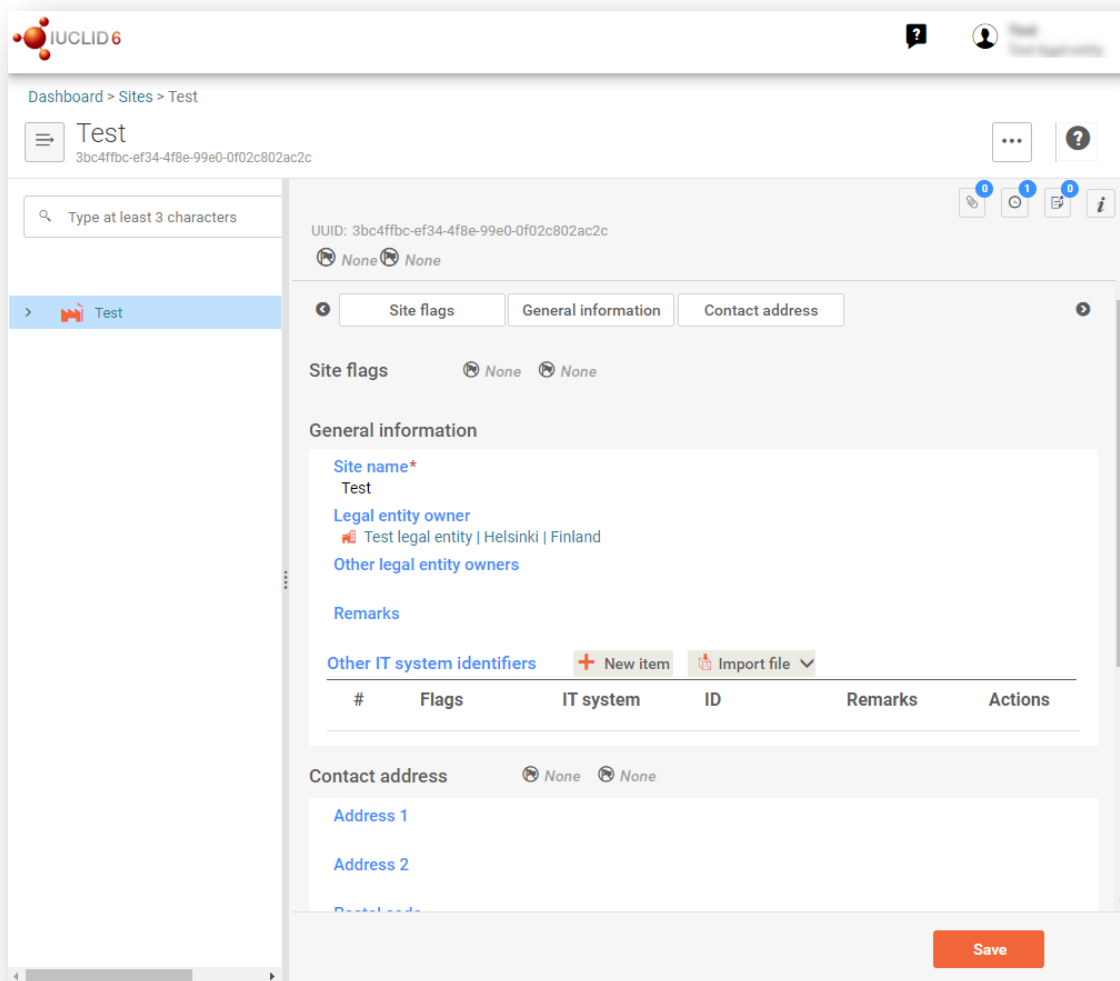


### 3.1. Creating a Legal entity site

To create a new site:

- Step 1.** In the pop-up window click on *New site / Create*.
- Step 2.** Complete as many fields as possible under *General information* and *Contact address*. The minimum data required is the *Country* where the site is located.
- Step 3.** Click *Save*.

**Figure 11: Create a new Legal entity site**



## 4. Contact

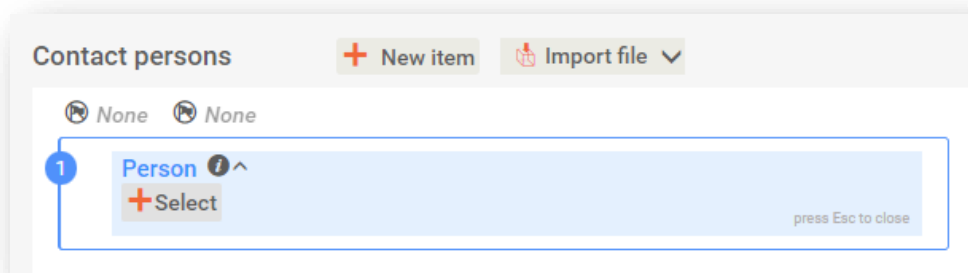
In the Contact inventory you can insert the contact details of the relevant competent persons, such as person responsible for the safety data sheet (SDS), toxicologist, etc, which can be attached to the IUCLID dossier. This person may be contacted to provide assistance or ask about the information submitted.

Information on the contact person responsible for your submission must be specified and managed in REACH-IT.

A *Contact* can be either edited or created either from:

1. from the list page of *Contacts* which can be accessed from the main Menu;
2. from the place where the *Contact* is referred to in a dataset (for example in section 1.1). Typically, a link can be made to more than one *Contact* from the same place. To create a new *contact* from the place where the *Contact* is referred to *in* a dataset, click on *Select* within the link as shown below. The *link* will take you to the *Contacts* inventory.

**Figure 12: Link to Contact inventory from within the dataset**



### 4.1. Creating a contact

To create a new contact:

- Step 1.** Click on *New contact / Create*.
- Step 2.** Provide the '*Last name*' and the '*Organisation*' (Fields marked with the red asterisk are mandatory) and complete as many fields as possible under *General Information*.
- Step 3.** Click *Save*.

**Figure 13: Create a new Contact**

The screenshot shows a web interface for creating a new contact. The window title is "Test, ECHA". The main content area is titled "General information" and contains the following fields:

- Contact type**: None
- Last name\***: Test
- First name**: None
- Organisation\***: ECHA
- Department**: None
- Title**: None
- Phone**: None
- Mobile**: None
- Fax**: None
- Email**: None
- Address 1**: None
- Address 2**: None
- Postal code**: None
- Town**: None

A "Save" button is located at the bottom right of the form.

## 5. Reference substance

A *Reference substance* enables you to store identification information on a given substance or a given constituent of a substance, such as chemical names (EC name, CAS name, IUPAC name, synonyms, etc.), identity codes (EC number, CAS number), molecular and structural information.

The *Reference substance inventory* gives the possibility to use the same information for the same chemical identity avoiding re-type it and to ensure that the data is centrally managed and updated. The *Reference substance* inventory is directly maintained by you, in your IUCLID web user interface. Each *reference substance* can be linked to an unlimited number of substance or mixture datasets. For updating the information in a *reference substance*, you can open the *Reference substance inventory*, search for the relevant *reference substance* and update it. The modifications will impact every single dataset linked to that *reference substance*.

To extend the number of entries in your inventory, you can search, download and import available reference substances from the IUCLID website under the section [Support ->Get IUCLID data -> Reference substances](#) to your IUCLID web user interface. These pre-defined reference substances have been prepared to improve data quality and minimise data entry.

### 5.1. Creating a reference substance

If you do not find a reference substance in the *Reference substance inventory*, you can create a new reference substance.

There are two types of information that can be reported in a *reference substance*:

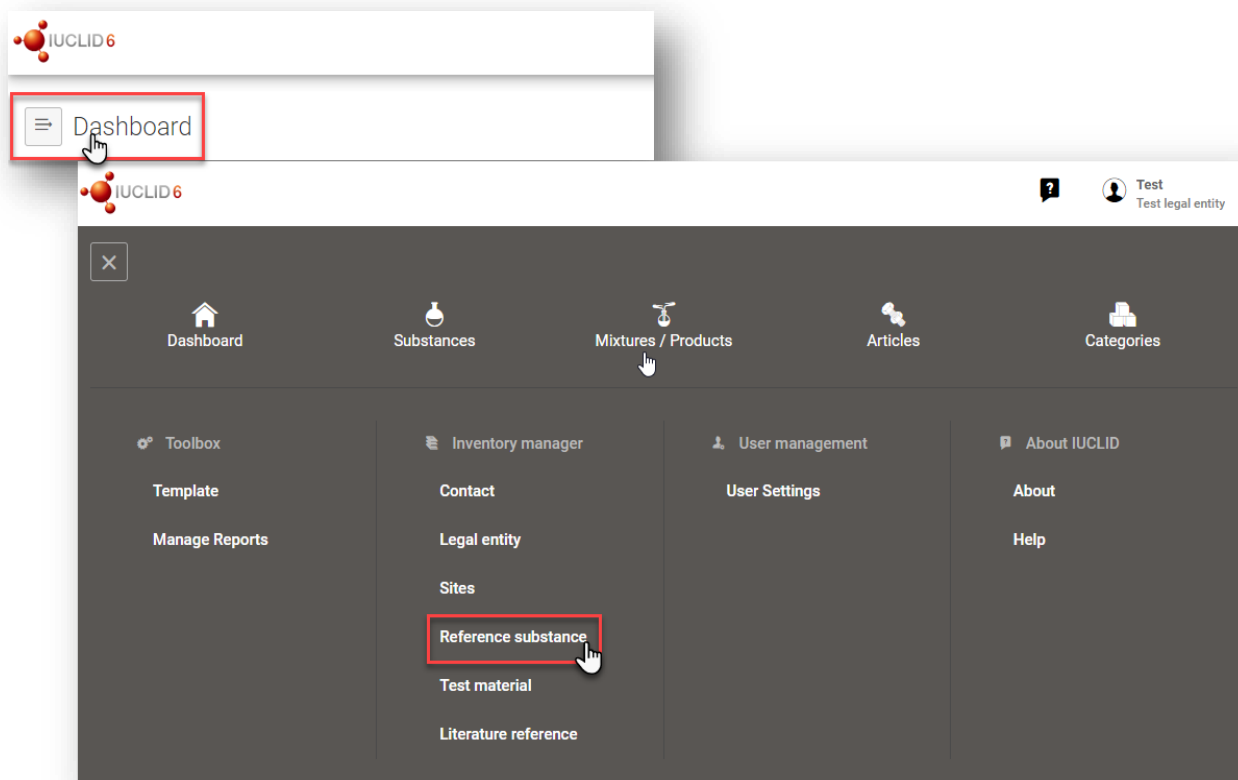
1. Information **specific** to the *reference substance*: such information exactly corresponds to the substance/constituent(s) covered by that reference substance;
2. Information **related** to the *reference substance*: this information does not accurately correspond to the substance/constituent(s) covered by that reference substance for any of the following reasons:
  - The information is generic as it also covers other substances/constituents;
  - The information only covers some of the constituents of a reference substance for a substance or a group of constituents;
  - The information refers to a similar constituent/substance;
  - The information is not the latest available information to identify the substance/constituent(s)

Related information should be reported under the *Identifiers of related* substances as it may create an ambiguity on the identity of substance or constituent(s) which a reference substance corresponds to.

The creation and editing of a *Reference substance* can be done from the point where the *Reference substance* is referred to in a dataset, or from the list page of *Reference substances*. Here below you find instructions on how to create a *Reference substance* from the inventory list page.

To open the list page for *Reference substances* click on the menu button in the top left corner of the Dashboard, and then click on *Reference substance* in the main menu as shown below.

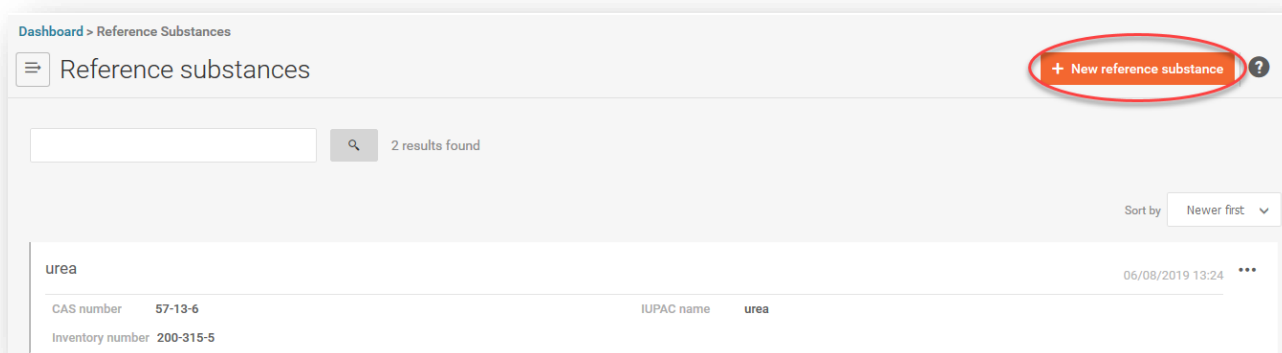
**Figure 14: Open the list page for Reference substances**



To create a new *Reference substance*:

**Step 1.** Click on *New reference substance*.

**Figure 15: The list page for Reference substances**



**Step 2.** Enter a name for your new *Reference substance* and click *Create*. Once you receive the message that your *Reference substance* has been created click *Open*.

**Step 3.** If the **reference substance is listed in the EC inventory** or if **it is described by an existing *List* number** you can assign that numerical entry by filling the *Inventory number* field.

**Step 4.** If your **reference substance is not listed in the EC inventory** and **no List number exists**, select a justification from the picklist proposed under *No inventory information available - Justification*.

**Step 5.** Complete as far as possible the remaining fields of the reference substance.

The following information, if available and/or applicable, should be submitted for the substance and any of the constituents, impurities and additives required to be reported:


- *Inventory number*,
- *CAS number* and *CAS name*,
- *IUPAC name* (Note that, if a name following the IUPAC nomenclature cannot be derived, you should still provide a name defining the chemical nature of the substance or the constituents/impurities/ which the reference substance describes),
- *Description* (Specify any additional information relevant for the description of the reference substance in this field. This is important especially when the reference substance does not correspond to a well-defined chemical substance. Attached files can be added if necessary.),
- *Synonyms*,
- *Identifiers of Related substances*,
- *Molecular formula* (if a molecular formula cannot be derived from the reference substance, a justification should be indicated in the Remarks field at the bottom of the section);
- *Molecular weight range*,
- *SMILES notation* (the text must be limited to the SMILES notation itself. Do not include any other text in this field. Further information on the nomenclature is available at e.g. <https://www.daylight.com/dayhtml/doc/theory/theory.smiles.html>. SMILES translators are available from different websites such as <https://cactus.nci.nih.gov/translate/> and <https://pubchem.ncbi.nlm.nih.gov/edit3/index.html>)
- *InChI* (the text must be limited to the InChI itself. Do not include any other text in this field. Further information on the nomenclature and a software to generate InChI are available at <https://iupac.org/who-we-are/divisions/division-details/inchi/>).
- Upload an image file with the *Structural formula*.

**Step 6.** To save the *Reference substance* click on *Save*.



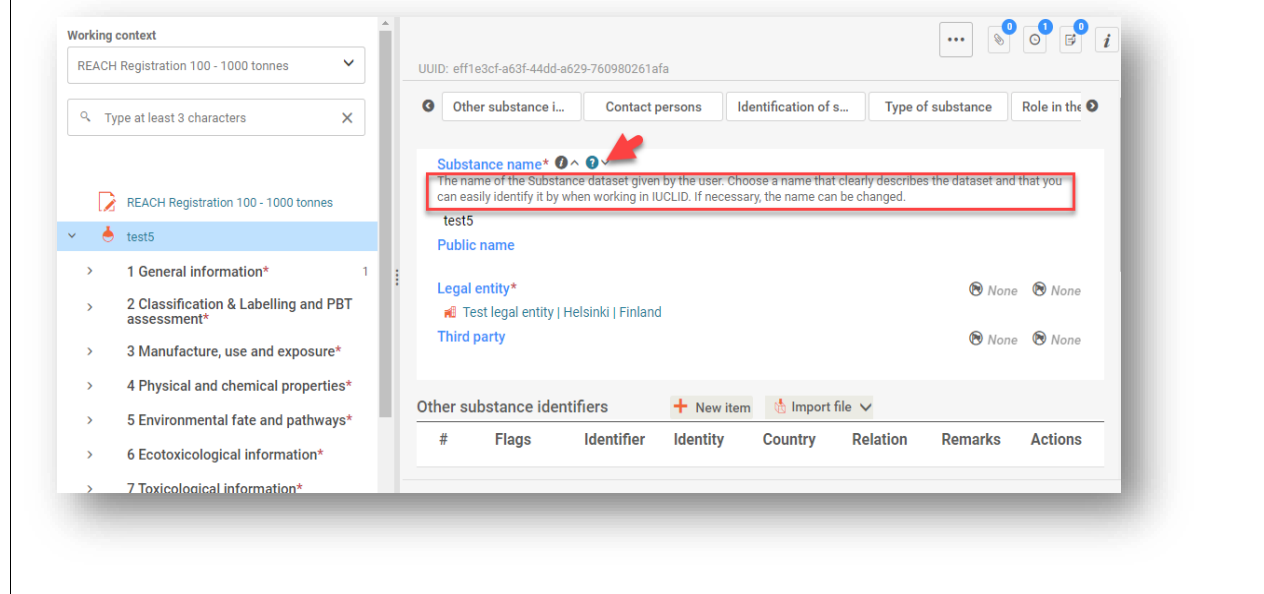
## 6. How to create a substance dataset

This chapter outlines which information you have to provide in different sections of IUCLID, which depends on the type of submission that you wish to do via a IUCLID dossier.

When entering your data you can use the help system of IUCLID that can be opened by clicking on the round question mark icon  on the top-right corner of the screen.

For further support and to read specific help text that explains how each field should be used, click on a question mark icon displayed next to the field heading. Please note that the question mark icon will appear only after hovering with the cursor over the selected field.

**Figure 16: How to get further support on the use of fields**



To create a IUCLID dossier, you first need to create a substance dataset. A substance dataset is a repository of administrative and scientific data for a substance. The information in the dataset can be modified: you can add, remove or change information in the dataset. **The dataset is used as basis for the dossier.** The dossier is a snapshot of the dataset at a certain moment; the information in the dossier cannot be modified.

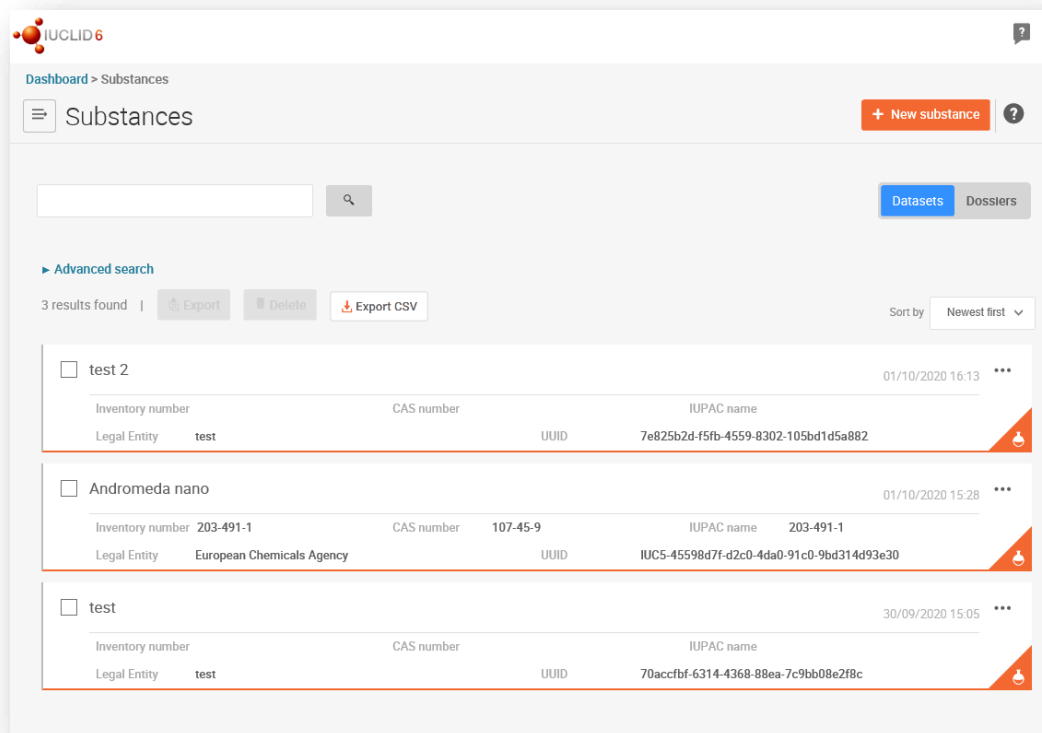
### To create a dataset:

- Step 1.** Click on the button entitled *Substances* in the IUCLID Dashboard and then click *New substance* in the top right-hand corner of the screen.
- Step 2.** Fill in the field *Name* for your new substance. Especially if your IUCLID contains several datasets, ensure to enter a name that you can easily use to distinguish the substance. Then click *Create*.
- Step 3.** Once you receive the message that the substance has been successfully created, click *Open*.
- Step 4.** You are now presented with a view of your substance dataset with the *Complete table of contents* displayed as a navigation tree on the left-hand side of the screen.

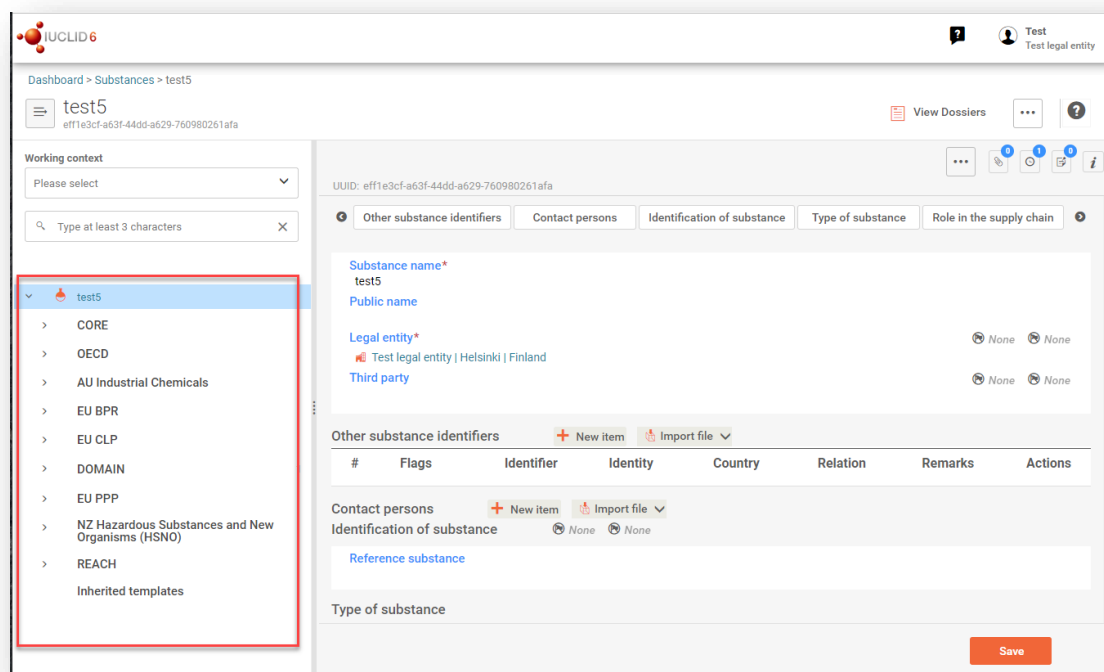
Please note that all the datasets that you have created (or imported) can be accessed from the *Substances page*. To open a substance dataset, click on the selected substance among those

displayed in the list. In case you have several datasets, you can search the substance you wish to view by typing into the query box either the substance name, the CAS or EC number of the substance, or its IUPAC name. Alternatively, the *Advanced search* can be used.

**Figure 17: Substances page - list of substances**

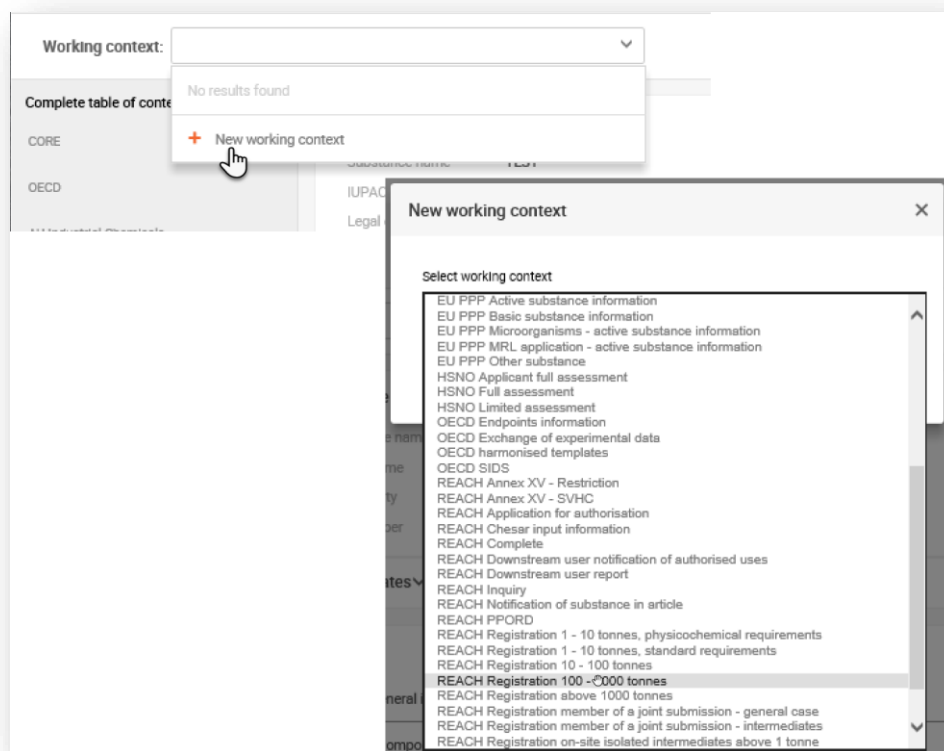


**Figure 18: View of substance dataset with complete table of content (TOC)**



- Step 5.** To view the table of contents that is relevant for the type of dossier that you are preparing, click on the *Working context* query box and then click on *New working context*.
- Step 6.** A picklist of different submission types appears. Select the specific type of submission *from the list* and click *Apply*.

**Figure 19: An example of selecting the template from the picklist**



- Step 7.** The sections relevant for the working context (submission type) are now displayed. Sections including mandatory information to complete are marked with the asterisk. Note that if you are creating a dataset but do not yet know the exact REACH dossier type that will be prepared, you can select the option REACH Complete. This will display the table of contents containing all sections that are relevant under the REACH Regulation.

For information on how to fill the data in the *Dossier header*, please see the dedicated section under the chapter '*How to create a Dossier*'.

Once you have created a dataset for your substance, you can enter data on the substance in this dataset. The following chapters describe what data should be entered into each section of IUCLID for the specific type of submission that this manual refers to. The sections are shown with their name and the numbering used with the relevant IUCLID table of contents view.

When filling in the different parts of a dataset it is important, that:

- when you create many rows in a table, you must fill in the relevant information in each row,
- when other is selected in a picklist the text field below marked with 'Other' must be completed,
- when a field is associated with a unit, this must be filled in.

## 6.1. Copy/update from a registered substance dataset

A substance dataset already submitted for registration may contain information also relevant for authorisation. Thus, the applicant may take advantage to copy an existing registration substance dataset to a newly created authorisation substance dataset. For instance, IUCLID sections 1.1 Identification, 1.2 Composition, 3.5 Identified uses, and 13 Assessments reports, might benefit to be automatically imported from an existing registration substance dataset.


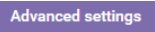
The applicant may then proceed to the appropriate refinement of information specifically related to authorisation (e.g. it may occur that not all uses identified and described in a registration dataset are relevant for authorisation purposes).

Further instructions on how to create a copy of a substance dataset can be found in the help system of IUCLID.

## 6.2. Multi-substances dossier - Category approach

Applications may be submitted for one or several substances that meet the definition of a group of substances in section 1.5 of Annex XI of REACH.

The steps that need to be taken in IUCLID for preparing a dossier for several substances are the following:

- Step 1.** For each substance belonging to the group, create a separate substance dataset, in which all required data are to be entered as for any other non-grouped substance, i.e. IUCLID sections 1.1, 1.2, 1.3, 3.5, 3.10, and 13.
- Step 2.** For applications for several substances, section 3.10 allows to indicate which uses apply for which substance in the application. For instance, if a use applies to all substances it shall be listed in sections 3.10 of all substance datasets to be assigned to the category; if a use applies only to one (or some) of the substances, it shall be listed only in section 3.10 of the relevant substance dataset(s). See chapter 6.6.7 of this manual.
- Step 3.** Create a category in IUCLID: Click on *Categories*  in the IUCLID main menu and then click on *New category*. Provide the new category name and click *Create*. Assign an existing *Legal entity* to the dataset. The legal entity that has subscribed to the web interface has automatically been added to the field. Under *Justifications and discussions* fill in the field *Category rationale*.
- Step 4.** Assign to the category the substance datasets you created in steps 1-2 above: In the *Category members* field click *Select* and then search, select, and click on the relevant substance datasets. Click *Save* at the bottom of the page.
- Step 5.** When you create a dossier (you can do this from any of the substance datasets you created in step 1 above) click on the  button to access the *Advanced settings for Dossier creation*.

Then, click in the box under the heading *Flags for regulatory programme*. In the dropdown list deselect all selections by clicking *Select/Deselect all* and select EU: REACH- [Registration, Evaluation and Authorisation of Chemicals Regulation(EC). Tick now the box *Select documents to be included* and click *Next*. In the window that appears you can select/deselect the categories or the category members to be included in the dossier.

For more detailed instructions on how to create a dossier based on a REACH category approach, please refer to the help system of IUCLID.

When deciding whether or not to submit an application for a group of substances, a key consideration is maintaining clarity and transparency in the application. For further guidelines on the grouping of substances, please refer to the *Guidance on the preparation of an application for authorisation*, Annex 1 *Considerations for grouping of substances* at:

<http://echa.europa.eu/guidance-documents/guidance-on-reach> and to the ECHA website at <http://echa.europa.eu/web/guest/applying-for-authorisation>.

Due to the possible complexity and technical issues of such group of substances submissions, ECHA recommends that you group substances only in the most favourable cases where all substances of the group have the same uses. In more complex cases, it may be preferable to submit separate applications for each substance of the group.

### 6.3. Multi-applicants dataset – Joint application

An application for authorisation can be submitted by one applicant or a group of applicants (i.e. joint application). When deciding whether or not to submit an application for a group of applicants, a key consideration is maintaining clarity and transparency through the whole application. For further guidelines on joint applications please refer to the *Guidance on the preparation of an application for authorisation* at <http://echa.europa.eu/guidance-documents/guidance-on-reach> and to the ECHA website at <http://echa.europa.eu/web/guest/applying-for-authorisation>.

Due to the possible complexity and technical issues of joint applications, ECHA strongly recommends that you develop and submit a joint application only when all co-applicants of the group have found an acceptable way to share all information provided in the application. In complex cases, it may be preferable for each co-applicant to submit their own application separately.

ECHA will treat a joint application as a whole and has no possibility to make any special arrangements to accommodate confidentiality issues between joint applicants. Therefore, during processing and opinion making for an application, confidential information is likely to be referred to within the group of joint applicants; note, for instance, that copies of ECHA's communications in REACH-IT are sent to all applicants of a joint application.

The dossier including a substance dataset of a joint application shall be submitted to ECHA by one legal entity herein called "submitting applicant". Chapter 10 of this manual further describes the steps how to submit the joint application through REACH-IT.

### 6.4. Section 1 General information

In section 1, *General information*, enter some of the information requested on substance identity and identity of the applicant(s). Sections 1.4, 1.5, and 1.8 are optional. Section 1.7 is mandatory only if some of the applicants is an Only Representative.

When filling in section 1, keep in mind that:

- i. The identity of the substance shall be consistent with / covered by the one described in the corresponding Annex XIV entry available at: <https://echa.europa.eu/authorisation-list>
- ii. The *Public name* field is normally not relevant, as the Annex XIV entry corresponding to the substance applied for cannot be considered confidential.
- iii. It is not possible to appoint a *Third party representative* for an application for authorisation.
- iv. For a joint application, the roles of each applicant in the supply chain (*Manufacturer, Importer, Downstream user, Only Representative*) must be indicated when applicant confirms their participation by using REACH IT (see chapter 10).

### 6.4.1. Section 1.1 Identification

Section 1.1 contains the identification of the substance, role in the supply chain and the type of (reference) substance.

To complete this section, follow the steps:

- Step 1.** In the *Substance name* field type a name for the substance which you are preparing the dossier for.
- Step 2.** If you have any confidentiality concerns about the substance name, you need to fill in the *Public name* field. In this field you have to indicate a generic name suitable for publication, which appropriately describes the substance.

For more information on how to derive a *public name* for a substance for use under the REACH Regulation, refer to the manual *Dissemination and confidentiality under the REACH Regulation* available at <http://echa.europa.eu/manuals>.

- Step 3.** Assign a *Legal entity* to your substance dataset.

The legal entity that has subscribed to the web interface has automatically been attached in the IUCLID web interface.

For REACH registration, Inquiry and PPORD dossiers you can indicate a *Third party representative (TPR)*.

Information on the *Third party representative* for your submission must be specified and managed in REACH-IT prior to the submission. For more information on *Third party representatives*, please refer to the Guidance on data sharing available at: <http://echa.europa.eu/guidance-documents/guidance-on-reach>

### Other substance identifiers and Contact persons:

- Step 4.** If relevant, you can include additional identifiers for your substance under *Other substance identifiers*. Such identifiers may include Trade names of the substance, identifiers by which the substance was previously known but have later been replaced/refined, or identifiers which are used to identify the substance under other

regulatory schemes. Chemical (scientific) synonyms should not be listed here, but should be indicated in the reference substance information.

**Step 5.** You can specify other identifiers by clicking *New item*, then on the generated row and filling out the *Other substance identifier* fields that are shown in the window. Alternatively you can import a CSV file.

**Step 6.** You can add information of the contact person(s) for this substance from the previously defined. A new contact can also be created by clicking on *New Item* (See chapter *Contacts*).

### Identification of substance:

The information to be reported in your reference substance depends on the substance type:

#### **Mono-constituent substances:**

A **mono-constituent substance** is a **well-defined substance** for which one constituent is present at a concentration of at least 80 % (w/w). This constituent is the main constituent of the substance. The substance is named according to the chemical name of that main constituent.

If your substance is a **mono-constituent** substance, assign the *reference substance*<sup>1</sup> corresponding to the main constituent in section 1.1.

#### **Multi-constituent substances:**

A **multi-constituent substance** is a **well-defined substance** for which more than one constituent is present at a concentration between 10 % and 80 % (w/w). These constituents are the main constituents of the substance. A multi-constituent substance is normally named as a *reaction mass* of the main constituents.<sup>2</sup>

If your substance is a **multi-constituent** substance, assign the *reference substance*<sup>3</sup> corresponding to the reaction mass of the main constituents of your substance in section 1.1.

#### **UVCB substances:**

**UVCB substances** (i.e. substances of Unknown or Variable composition, Complex reaction products or Biological materials) are substances that cannot be sufficiently identified by their chemical composition.

If your substance is a **UVCB** substance, assign a *reference substance*<sup>4</sup> corresponding to the UVCB substance in section 1.1.

**Step 7.** By clicking *Select* in the *Identification of substance* section you can identify your *Reference substance*.

<sup>1</sup> Note that for the reference substance: *Molecular formula*, *Molecular weight range* and *Structural formula* must be provided. In addition, the *SMILES notation* should also be provided if available.

<sup>2</sup> Certain multi-constituent substances corresponding to reaction masses of isomers may sometimes be more conveniently named using a chemical name where the isomeric form is not specified rather than as a "reaction mass".

<sup>3</sup> Note that the *Molecular formula*, *Molecular weight range* and *Structural formula* of the reference substance must be provided or a justification for not providing this information must be given in the *Remarks* field. In addition, the *SMILES notation* should also be provided if available.

<sup>4</sup> Note that the *Molecular formula*, *Molecular weight range* and *Structural formula* of the reference substance must be provided or a justification for not providing this information must be given in the *Remarks* field. In addition, the *SMILES notation* should also be provided if available.



If you have many *Reference substances* in your system we recommend you to start by searching the *Reference substance inventory*. If you already have the correct *Reference substance* created and found it, click on it from the list to select it.

If you do not find a *reference substance* in the *Reference substance inventory*, you can create a *New reference substance* by clicking on *Create* in the right top corner of the screen. (See chapter *Reference substance*)

### Type of substance:

**Step 8.** Under the section *Type of Substance* select the appropriate *Type of substance* from the picklist. For submissions of registrations under REACH, you can only select between mono-constituent substance, multi-constituent substance and UVCB (the options polymer, microorganism and other: are not relevant).

We also recommend you to read the *Guidance for identification and naming of substances under REACH and CLP* available at <https://echa.europa.eu/guidance-documents/guidance-on-reach>.

**Step 9.** Select the *Origin*, e.g. organic or inorganic, from the picklist.

### Role in the supply chain:

**Step 10.** Select at least one checkbox in this section according to your role in the supply chain with regards to this substance and this submission context.

**Step 11.** To save the information click on *Save*.

Annex XIV can contain entries for which it might not be straightforward how to fill in IUCLID section 1.1, e.g. entries specifying more than one EC numbers. Specific (case-by-case) instructions regarding such entries can be found at the *Questions & Answers* section of ECHA's website, available at:

<https://echa.europa.eu/support/qas-support/browse/-/qa/70Qx/view/scope/REACH/Authorisation> <http://echa.europa.eu/qa-display/-/qadisplay/5s1R/view/reach/authorisation> (see sub-section *Applications for Authorisation - Technical instructions for specific Annex XIV entries*).

## 6.4.2. Section 1.2 Compositions


Section 1.2 is used for describing the identity of your substance at a compositional level. In this section, you will report the identity and concentration of the constituents of the composition, including any impurities and additives. The state and form of your composition(s) is reported in this section.

You are advised to ensure that the information included in IUCLID section 1.1 and section 1.2 is sufficient to clearly report your substance identity and is consistent between both sections. In particular, this information reported may not be so generic that it would describe more than one substance.

Each substance dataset must contain at least one composition record which refers to the composition manufactured, imported or used by the registrant/notifier/applicant. Depending on the type of substance and dossier to be prepared, it may be necessary to report more than one composition. This is in particular the case where compositional differences affect the hazard profile and classification of the substance.



Each composition is reported as a record in IUCLID. To create a new record:

- Step 1.** In the navigation panel on the left hand side of the screen click on  next to *1.2 Composition*.
- Step 2.** Fill in the composition as described below:

### General Information:

- Step 3.** Provide a descriptive *Name* for the composition. This is especially relevant if you report multiple compositions.
- Step 4.** The default selection in the *Type of composition* field is *legal entity composition of the substance*. This refers to a composition manufactured, imported or used by the registrant/notifier/applicant. Each dataset should contain at least one composition of this type. Only modify this value where you intend to report a composition with a different purpose. For more information on what composition types that can be reported for that submission please refer to the specific instructions for the submission type that you are preparing.
- Step 5.** Indicate the physical *State/form* of the composition by selecting the appropriate value in the picklist. Where the substance covers different physical states or forms, a separate composition should be created for each of them.
- Step 6.** You can give more detailed information on the composition under the *Description* field. This is particularly important when several compositions are reported in order to clarify the differences between them. Providing further considerations on how the composition has been defined is also advisable when the composition covers wide concentration ranges or polymorphs or isomers. For substances that cannot be described with well-defined and quantified constituents (e.g. UVCB substances), further information to identify the composition is provided in this field, including the identity of the starting materials and a description of the production process used to manufacture the substance.
- Step 7.** You can provide supporting attachments under *Attached description / justification*.
- Step 8.** In the *Justification for deviations* field provide, where relevant, the justification for deviating from the rules for reporting the composition of substances as specified in the legal text and indicated in the *Guidance for identification and naming of substances under REACH and CLP* available at <https://www.echa.europa.eu/web/guest/guidance-documents/guidance-on-reach>.

### Degree of purity:

- Step 9.** Provide the *degree of purity* of the composition, together with the unit of measurement. For instance, a substance with a purity of between 95-98% (w/w) will be given as shown below.

Note: The degree of purity should correspond to the overall concentration of the (main) constituents in the composition.

**Figure 20: Degree of purity**

Degree of purity  None  None

> 95 < 98 % (w/w) press Esc to close

**Constituents:**

- Step 10.** Include the constituents for the composition. Each composition must have, as a minimum, one constituent. The number of constituents to be reported will depend on the type of substance. Add a *Constituent* by clicking on *New item* and then clicking on the generated row. Provide the requested information in the 'Set values' pop-up window. Alternatively, you can populate the repeatable block content by clicking on *Import file* and uploading a csv file.
- Step 11.** Assign a reference substance to the newly created constituent. Search for the appropriate reference substance by clicking *Select*. Once you have found the appropriate reference substance click on it to select it; alternatively, create a new reference substance to specify the constituent (see *Reference substance*). Ensure that the reference substance contains a chemical name in the *IUPAC name* field, and the appropriate EC and CAS identifiers, as available. To create a new reference substance click *Create*.
- Step 12.** Indicate the *Typical concentration* and the *Concentration range* (minimum and maximum values, and unit of measurement) for every constituent.

**Figure 21: Constituent**

Constituents

New Item Import file

| # | Referenc...                                                   | Typical c... | Concentr... | Remarks | Action |
|---|---------------------------------------------------------------|--------------|-------------|---------|--------|
| 1 | <input type="radio"/> None <input type="radio"/> None<br>None | None         | None        | None    |        |

**Set values** [X]

None  None

Reference substance  
 testene | testene

Typical concentration  
ca. 98 % (w/w)

Concentration range  
> 96 <= 99.5 % (w/w) press Esc to close

Remarks  
None

**Impurities and additives:**

- Step 13.** To complete the information regarding *Impurities* and *Additives* follow the same procedure.
- Step 14.** Where the *impurity* or *additive* is considered relevant for classification and labelling of the substance, the relevant checkbox must be selected.
- Step 15.** The function of each additive has to be provided by making a selection in the picklist *Function*. Only selections beginning with the word stabiliser are applicable under REACH and CLP.

To report **unknown impurities**, create a generic reference substance (see *Reference substance*) and insert in the *IUPAC name* field the phrase '*unknown impurities*'. In the *Remarks* field of the impurity block, specify the nature, number and relative amounts of the impurities as far as possible. Also provide the *Typical concentration* (with unit of measurement) and *Concentration range* (with unit of measurement) for the *unknown impurities*.

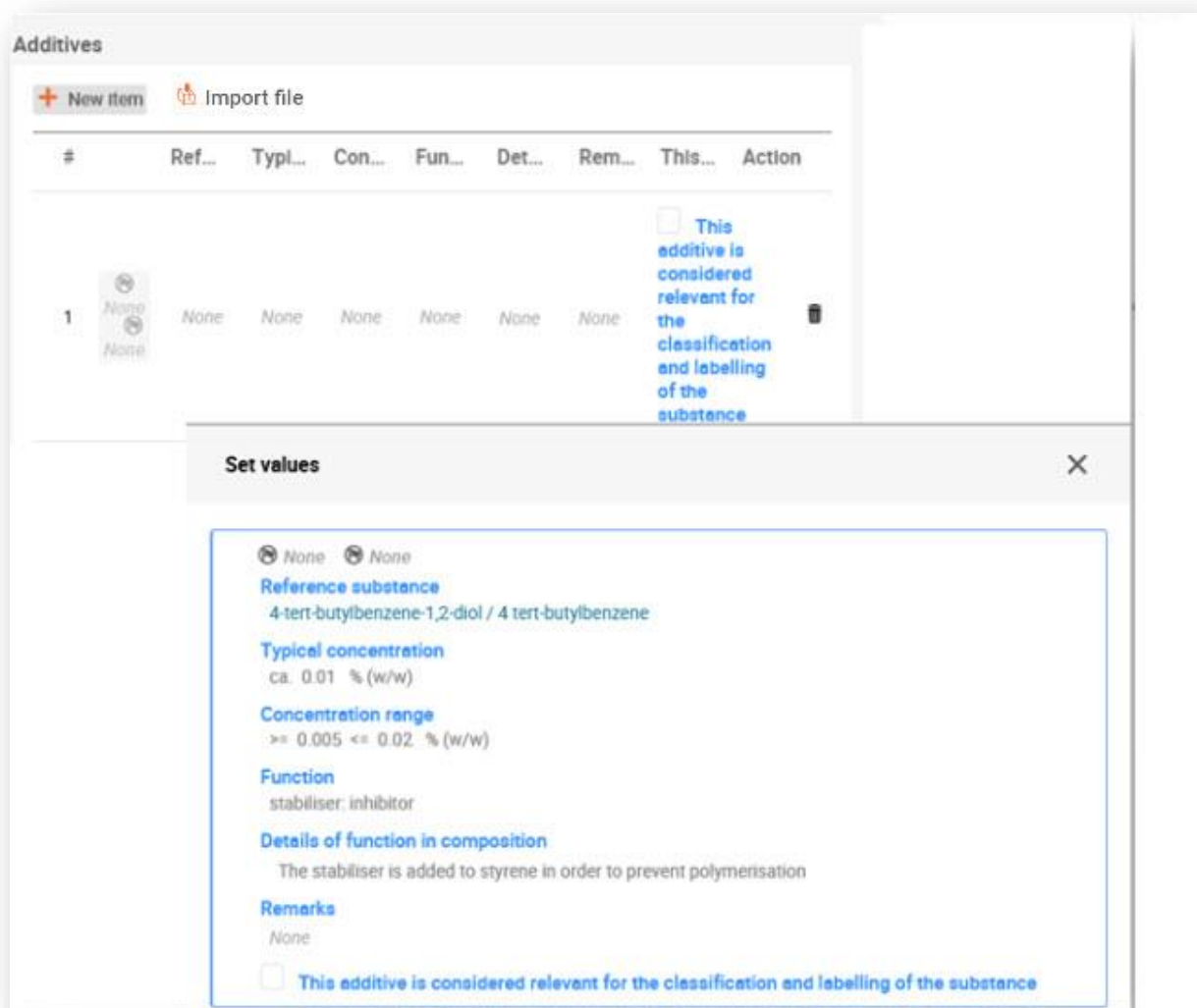
**Figure 22: Unknown impurities**

The screenshot displays the 'Impurities' management interface. At the top, there are buttons for '+ New item' and 'Import file'. Below is a table with the following columns: '#', 'Referenc...', 'Typical...', 'Conce...', 'Remarks', 'This im...', and 'Action'. The table contains one row with the following data:

| # | Referenc... | Typical... | Conce... | Remarks | This im...                                                                                                          | Action       |
|---|-------------|------------|----------|---------|---------------------------------------------------------------------------------------------------------------------|--------------|
| 1 | None        | None       | None     | None    | <input type="checkbox"/> This impurity is considered relevant for the classification and labelling of the substance | [trash icon] |

A 'Set values' dialog box is open over the table, showing the following fields:

- Reference substance: Unknown impurities
- Typical concentration: ca. 0.05 % (w/w)
- Concentration range: >= 0.04 <= 0.08 % (w/w)
- Remarks: 3 unknown organic impurities for which the individual concentration does not exceed 0.03% according to the HPLC analysis (see section 1.4). Based on the fragmentation pattern in the HPLC-MS analysis (see also section 1.4), the structure of these impurities might include one chlorine and two bromine atoms.
- At the bottom of the dialog, there is a checkbox:  This impurity is considered relevant for the classification and labelling of the substance.

**Figure 23: Additive**

When reporting information on the composition, where there is any deviation from the rules for identifying a mono-constituent, multi-constituent or UVCB substance, you will need to provide explanations for the deviations in the field *Justification for deviations*. Such deviations include, for example, reporting a mono-constituent composition that includes a main constituent with a concentration of less than 80 %.

The composition to be reported depends on the substance type:

#### **Mono-constituent substances:**

**For mono-constituent** substances, you have to complete the following information:

- Report only the main constituent under the *Constituents* in section 1.2. Assign the same reference substance for this constituent as in section 1.1;
- Report individually any impurities under the *Impurities* in section 1.2;
- Report any additive necessary to stabilise your composition under the *Additives* in section 1.2.

Specify the stabilising function of the additive from the picklist *Function*;

- Report the concentration range (both minimum and maximum values) and the typical concentration for the main constituent, any impurity and any additive;  
Note: The typical concentration and concentration range values reported for the main constituent of a mono-constituent substance should normally not be less than 80% (w/w)<sup>5</sup>;
- Report a degree of purity for your composition corresponding to the concentration range of the main constituent.

### Multi-constituent substances:

For **multi-constituent** substances, you have to complete the following information:

- Report the main constituents under the *Constituents* in section 1.2.  
Note: The main constituents should be the same for all compositions reported;
- Report any other constituent below 10% under *Impurities* in section 1.2;
- Report any additive necessary to stabilise your composition under *Additives* in section 1.2. Specify the stabilising function of the additive from the picklist *Function*;
- Report the concentration range (both minimum and maximum values) and the typical concentration for the main constituents, any impurity and any additive.  
Note: The typical concentration and concentration range values of each main constituent should normally be  $\geq 10$  and  $< 80\%$ <sup>6</sup>;
- Report a degree of purity for the composition corresponding to the overall concentration range of the main constituents.

### UVCB substances:

For **UVCB substances**, you have to complete the following information:

- Report the description of the manufacturing process, as well as other information relevant for the substance identification, in the field *Description*;  
Note: To facilitate the reporting of the manufacturing process, suggestions as to what to enter are provided in free text templates for the field *Description*. To open the free text templates, click on the icon that shows the letter A with an arrow at the bottom right and the text *Insert existing templates*. A pop-up window appears. Click *Option 2: Composition of a UVCB substance* or *Option 6: Composition of a petroleum UVCB substance* depending on the type of your UVCB substance. The text should then be edited so that it contains only the relevant data;
- Report the appropriate individual constituents or groups of constituents under *Constituents*.  
Note: To provide information on the constituents or groups of constituents in your substance, you must not reuse, in section 1.2, the reference substance already assigned for your substance in section 1.1;
- Do not report any constituent under *Impurities* of the composition (impurities are not considered relevant for UVCBs);
- Report any additive necessary to stabilise your composition under *Additives*. Specify the

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<sup>5</sup> Any deviation from the "80% rule" should not be applied, unless a valid justification is provided. This justification should be provided in the *Justification for deviations* field for each composition where such a deviation is applied.

<sup>6</sup> Any deviation from the "80% rule" should not be applied, unless a valid justification is provided. This justification should be provided in the *Justification for deviations* field for each composition where such a deviation is applied.

stabilising function of the additive;

- Report the concentration values of the individual constituents, groups of constituents and any additive as a concentration range (both minimum and maximum values) and typical concentration.
- Report the appropriate degree of purity for your UVCB substance (the degree of purity should normally be 100% for UVCBs which do not include any additive, as the concept of impurity is not considered relevant for these substances).

For applications for authorisation, applicants are advised to carefully check before the submission of the dossier that the information provided in IUCLID section 1.1 and IUCLID section 1.2 is sufficient to clearly identify the substance wished to be covered by the authorisation. In particular, this information should normally not be so generic resulting in potentially describing more than one substance or leading to a substance identity outside the frame of the Annex XIV entry. The substance identification in the application for authorisation dossier should follow the *Guidance for identification and naming of substances under REACH* (<http://echa.europa.eu/guidance-documents/guidance-on-reach>). Any deviation from the guidance should be properly documented in the dossier.

It is possible to specify more than one composition for a substance. For instance, a Manufacturer/Importer may manufacture/import more than one compositions of an Annex XIV substance, or the compositions may differ from one applicant of a joint application to another applicant: discrepancies can occur in terms of degree of purity, or in terms of nature and quantities of impurities/additives. In case of minor divergence you might be able to report only one composition by setting appropriate concentration ranges for the constituents, impurities and additives. However, in cases where more significant differences in composition need to be reported, additional repeatable composition blocks can be added.

As stated above, Annex XIV can contain entries for which it might not be straightforward how to fill in IUCLID sections 1.1 and 1.2, e.g. entries specifying more than one EC numbers. Specific (case-by-case) instructions regarding such entries can be found at the *Questions & Answers* section of ECHA's website, available at: <https://echa.europa.eu/support/qas-support/browse/-/qa/70Qx/view/scope/REACH/Authorisation> (see sub-section *Applications for Authorisation - Technical instructions for specific Annex XIV entries*).

### 6.4.3. Section 1.3 Identifiers

Section 1.3 of IUCLID is relevant for initial applications, requested updates, subsequent applications, and review reports. For further information on the above application types please see also *chapter 13*.


A series of identifiers may need to be added in this section:

- REACH Annex XIV substance entry number:** for all types of applications (this number can be found from the Authorisation List available at ECHA's website at: <https://echa.europa.eu/authorisation-list>);
- REACH Registration number:** in order for ECHA to access a referenced "CSR" submitted as part of the registration according to Article 62(4)(d). Please note that if a CSR covering all uses applied for is included in the IUCLID dossier when applying for an authorisation, no registration number should be provided here;

iii. **REACH Authorisation number:** for subsequent applications which refer to a granted authorisation according to Article 63(2);

iv. **REACH Authorisation number:** for reviews of authorisation which refer to a granted authorisation according to Article 61(1);

Note that for subsequent applications which refer to a submitted application according to Article 63(1) and for updates requested by the Committees according to Article 64(3) the (last) submission number has to be placed in the dossier header when creating the application for authorisation dossier (see also *chapter 9*).

To enter your data, you must first create a new record by clicking on the  button displayed in the navigation panel next to *1.3 Identifiers*.

- Step 1.** Press *New item* button to add a new identifier to the *Regulatory programme identifiers* table.
- Step 2.** Click on the generate row and depending on the type of submission, select the appropriate identifier from the *Regulatory programme* picklist.
- Step 3.** Enter the relevant number in the *ID* field.
- Step 4.** If you need to provide more than one programme identifier, create a new row by repeating the previous steps. Alternatively, you can import a CSV file.
- Step 5.** To save the information click *Save*.

The table below gives an overview of where to report in IUCLID the different identifiers for each type of submission.

**Table 1: Identifiers to be reported in the dossier**

| Type of application                    | Annex XIV entry number                          | Registration number (CSR)                       | Annotation number                   | Last submission number              | Authorisation number |
|----------------------------------------|-------------------------------------------------|-------------------------------------------------|-------------------------------------|-------------------------------------|----------------------|
| Initial application                    | Section 1.3<br>Regulatory programme identifiers | Section 1.3<br>Regulatory programme identifiers |                                     |                                     |                      |
| Requested update (Article 64(3))       | Section 1.3<br>Regulatory programme identifiers | Section 1.3<br>Regulatory programme identifiers | Dossier header /<br>creation wizard | Dossier header /<br>creation wizard |                      |
| Subsequent application (Article 63(1)) | Section 1.3<br>Regulatory programme identifiers | Section 1.3<br>Regulatory programme identifiers |                                     | Dossier header /<br>creation wizard |                      |



|                                        |                                              |                                              |  |  |                                              |
|----------------------------------------|----------------------------------------------|----------------------------------------------|--|--|----------------------------------------------|
| Subsequent application (Article 63(2)) | Section 1.3 Regulatory programme identifiers | Section 1.3 Regulatory programme identifiers |  |  | Section 1.3 Regulatory programme identifiers |
| Review report                          | Section 1.3 Regulatory programme identifiers | Section 1.3 Regulatory programme identifiers |  |  | Section 1.3 Regulatory programme identifiers |

#### 6.4.4. (Optional) Section 1.4 Analytical information

Section 1.4 is for the inclusion of analytical information such as spectra or chromatograms to enable the identity of your substance to be verified, including the compositions specified in the dossier. It is also the place to include the descriptions of the methods used to generate this information.

In this section you can create several records to include analytical information you consider sufficient to verify the identity of your substance. To create a new record:


**Step 1.** In the navigation panel click on  next to *1.4 Analytical information*.

To complete this section, follow the steps:

##### Methods and results of analysis:

**Step 2.** Use the table *Analytical determination* to provide analytical information used to verify the identity of the substance.

**Step 3.** Fill in the information on the analytical methods and results of the analysis.

You can populate the repeatable block content by clicking on  **Import file** and uploading a csv file. Alternatively, you can manually create a *New item* for each analytical determination and then click on the generated row: enter the *Purpose* of analysis for which the analysis was carried out, select the *Analysis type* (e.g. *spectral*, *chromatographic*), *Type of information provided*, and any *Remark* you consider relevant. For each method, you should attach the file containing the method and the result of the analysis. If you cannot provide results for the indicated analysis type, select the reason from the picklist *Rationale for no results* and fill in the explanation in the *Justification* field. Note that several analysis types can be reported for one determination.

You can choose to enter *identification* or *quantification* as purpose of an analysis. Both identification and quantification analyses are expected to be submitted to verify the composition of a substance.

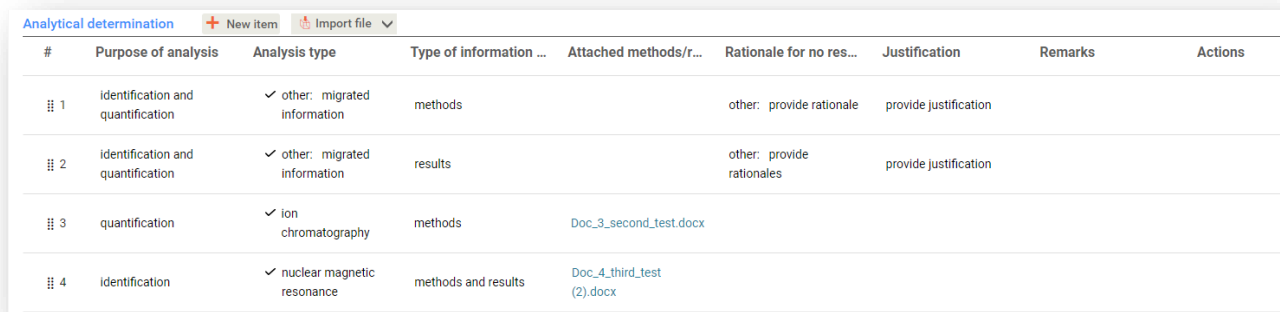
*Identification* refers to any analysis carried out to establish the identity of the constituents, including their chemical functionalities, present in the composition of a substance. Examples of analyses used for identification are spectroscopic analyses such as UV, IR, NMR, MS or XRD.

*Quantification* refers to any analysis carried out to establish the concentration of the constituents in the composition. Examples of analyses used for quantification are chromatographic analyses, elemental analyses, titration.



Some analyses may be carried out both for identification and quantification purposes.

**Figure 24: Analytical determination**



| # | Purpose of analysis               | Analysis type                 | Type of information ... | Attached methods/r...     | Rationale for no res...   | Justification         | Remarks | Actions |
|---|-----------------------------------|-------------------------------|-------------------------|---------------------------|---------------------------|-----------------------|---------|---------|
| 1 | identification and quantification | ✓ other: migrated information | methods                 |                           | other: provide rationale  | provide justification |         |         |
| 2 | identification and quantification | ✓ other: migrated information | results                 |                           | other: provide rationales | provide justification |         |         |
| 3 | quantification                    | ✓ ion chromatography          | methods                 | Doc_3_second_test.docx    |                           |                       |         |         |
| 4 | identification                    | ✓ nuclear magnetic resonance  | methods and results     | Doc_4_third_test (2).docx |                           |                       |         |         |

For the *Analytical determination for nanoforms* please refer to the dedicated manual '*How to prepare registration dossiers covering nanoforms*' at [Manuals - ECHA \(europa.eu\)](https://echa.europa.eu/manuals)

**Step 4.** Indicate whether your substance is optically active by selecting the appropriate value from the picklist under *Optical activity*.

**Step 5.** Provide information on the optical activity, whenever applicable in the *Remarks* field.

### Related composition(s):

**Step 6.** You can link the reported analytical information to the relevant *Composition* from section 1.4. This is especially relevant when you have reported several compositions in section 1.2. To link reported analytical information to the relevant *Composition* from section 1.4 click *Select* in the *Related composition(s)* field. In the pop-up window select the composition among those displayed in the list.

For joint applications for authorisation, in case you want to describe analytical methods / results which are specific to some of the applicants you can create further records under this IUCLID section.

### Reporting the analytical determination for nanoforms

For information on how to report the analytical determination for nanoforms please refer to the manual *How to prepare registration dossiers covering nanoforms* at <https://echa.europa.eu/manuals>.

### 6.4.5. (Optional) Section 1.5 Joint submission

In this section you may wish to indicate, for your own administrative purposes, the name and some further details of the applicants in the corresponding fields. To enter your data, you must first create a new record.

Note that the legal entity information in the REACH-IT accounts of the applicants has precedence over any information provided in IUCLID section 1.5. If these data are inconsistent with each other, ECHA will consider the REACH-IT data as valid.

The submitting applicant creates the joint application in his local IUCLID installation and may request from the co-applicants their legal entity information so that data consistency may be ensured between IUCLID installations. Each co-applicant may export his own legal entity object (LEO – see chapter 2 of this manual) and send the export file (LEOX) electronically to the submitting applicant.

**Submitting applicant:** Indicate the name of the submitting applicant in the field *Lead*. Click the *Select* button to select the legal entity of the submitting applicant and establish the link. It is strongly recommended not to use the *Create* button to create locally the legal entity information. This would result in the legal entities being differently identified in the various IUCLID installations and would compromise data exchange.

**Co-applicants (members):** After having imported each co-applicant's LEOX, the submitting applicant can indicate all the co-applicants (members) of the Joint application. Click the *Select* button to select the co-applicant (member) and establish the link. The same recommendations as those provided for assigning the Lead apply.

#### 6.4.6. Section 1.7 Suppliers

For a company applying as an Only representative, information about the company outside the EU which is represented must be provided in section 1.7.

In case of a joint application, the co-applicants need to provide the respective information to the submitting applicant, who will include it in section 1.7 of the IUCLID dossier.

In the navigation panel click the  button next to *1.7 Suppliers*.

To complete this section, follow the steps:

- Step 1.** At the *Name* field under *Manufacturer/Importer/Formulator* assign the legal entity of the represented company to the dataset, by clicking on the *Select* button. A new window opens where you can search for existing legal entities within your IUCLID installation or create a new legal entity by clicking *Create*. Under *General information* fill in the field *Legal Entity name* with the exact name of the represented company. Under *Contact information* fill in as minimum the *Address, Town or Region/State, and Country* where the represented company is located. Click *Save* to store the information provided on the Legal Entity.
- Step 2.** In case this is a joint application, under *Remarks* indicate the name of the applicant (Only Representative) concerned by this record.
- Step 3.** You are advised to attach clear documentation of the appointment as the only representative (e.g. a copy of the appointment letter which was sent to importers) in the field *Assignment from non EU manufacturer*. If you want, you can also indicate the list of the importers' names covered by your application in the field *Other importers*.

In case this is a joint application and there are further applicants who apply as Only Representatives, repeat the above steps by creating a new record for indicating the company.

- Step 4.** To save the information click *Save*.

### 6.4.7. (Optional) Section 1.8 Recipients

This optional section can be used to indicate a downstream user, a distributor or a customer being supplied with the Annex XIV substance. These definitions never include consumers. To enter your data, you must first create a new record.

## 6.5. Section 2 C&L and PBT assessment

Section 2 is optional.

### 6.5.1. (Optional) Section 2.1 GHS

This optional section can be used to provide the Classification and Labelling information of the substance for which authorisation is sought. To enter your data, you must first create a new record.

As the application is assessed on the basis of the intrinsic properties given in Annex XIV, the Classification and Labelling information should at least reflect these properties.

It is recommended to consult Annex I of the CLP Regulation for the classification criteria and the Introductory Guidance on CLP at <http://echa.europa.eu/web/guest/guidance-documents/guidance-on-clp> for more detailed instructions on the application of the Classification and Labelling rules.

Harmonised classification has to be respected and you should not modify any of the harmonised hazard classes/differentiations. If the substance has a harmonised classification for some hazard classes/differentiations you may classify for other hazards according to available and reliable data. Additional hazards (e.g. phys-chem hazards: flammability, explosivity) can also be specified here.

For joint applications: different C&L can be addressed by inserting several C&L records, provided that they reflect as a minimum the C&L mentioned in Annex XIV and that they remain consistent with the information available in the assessment reports.

## 6.6. Section 3 Manufacture use and exposure

Sections 3.1, 3.2, 3.3, 3.4, 3.6, and 3.7 are optional.

### 6.6.1. (Optional) Section 3.2 Estimated quantities

This optional section can be used to provide the estimated manufactured/imported quantity in tonnes per calendar year or multi-yearly average. You can also provide in the *Remarks* field estimated tonnages per use and per year. To enter your data, you must first create a new record.

The estimated quantity given for each "use applied for" (a use for which the application is intended and an authorisation is sought) should be consistent with the amount(s) provided in the exposure scenario(s) covering that use, as documented in the chemical safety report.

Public tonnage information per "use applied for" is recommended to be included as part of the brief wording of the broad information on use, in section 3.5 (see chapter 6.6.4 below). That information will be published in the context of ECHA's consultation on alternative substances or technologies.

### 6.6.2. (Optional) Section 3.3 Sites

In this section you can specify the information on your substance manufacture and use sites. To report the data, click on the **+** button in the navigation panel next to *3.3 Sites* and create an endpoint. You can change the name of the endpoint on the top of the endpoint page. You can create several records and each of them must have one of the existing *Legal entity owner* linked to it.

The related uses taking place at each the site can then be linked by the *Select* button where previously created uses can be selected and assign to the site.

For applications for authorisation, this section might be relevant in the cases where the conditions of use of Annex XIV substance are site-specific and/or where:

- i. the applicant provides a justification in IUCLID section 3.10 for not considering risks arising from emissions of the Annex XIV substance from an installation for which a permit was granted in accordance with the IPPC Directive;
- ii. the applicant provides a justification in IUCLID section 3.10 for not considering risks arising from emissions of the Annex XIV substance from a point of source governed by the requirements of the Water Framework Directive.

### 6.6.3. (Optional) Section 3.4 Information on mixtures

This optional section can be used to provide information on the mixtures in which the Annex XIV substance is contained for the uses applied for, if applicable. Information to be provided in this section includes the name and type of mixture as well as the typical concentration range of the substance in the mixture. To enter your data, you must first create a new record.

### 6.6.4. Section 3.5 Use and exposure information

This section enables applicants to provide information on the uses they apply for an authorisation. In particular, section 3.5 of IUCLID offers a multi-level structured system enabling applicants to categorise the type of use of the Annex XIV substance by using standard descriptors and free text information. "Identified uses" created in IUCLID section 3.5 will serve to populate the links with the "uses applied for" (in IUCLID section 3.10).

Before filling out this IUCLID section, it is recommended to read the ECHA *Guidance on Information Requirements and Chemical Safety Assessment - Use description* (R.12) at: <http://echa.europa.eu/web/guest/guidance-documents/guidance-on-information-requirements-and-chemical-safety-assessment>

and the document with further advice on *How to develop the description of uses in the context of Authorisation* at:

<http://echa.europa.eu/applying-for-authorisation/start-preparing-your-application>

#### 6.6.4.1. Information on uses

Uses of the Annex XIV substance can be reported each as a record in different subsections

corresponding to different life cycle stages<sup>7</sup>: 3.5.2 Formulation or re-packing, 3.5.3 Uses at industrial sites, 3.5.4 Widespread uses by professional workers, 3.5.5 Consumer uses, and 3.5.6 Service life<sup>8</sup>.

Each record must be complete and also consistent with the information contained in the related exposure scenario.

To create a new use:

**Step 1.** Click  on the relevant life cycle stage where you want to add a new use.

**Step 2.** Indicate an intuitive name for the record so that you can easily recognise it later.

Next, fill in the information on your use.

- For a complete record in the subsection **3.5.2 Formulation or re-packing** at least the fields *Use name*, *Process Category (PROC)* under *Contributing activity / technique for workers*, *Technical function of the substance during formulation*, *Related assessment*, and *Remarks* must be filled in.
- For a complete record in the subsection **3.5.3 Uses at industrial sites** at least the fields *Use name*, *Process Category (PROC)* under *Contributing activity / technique for workers*, *Technical function of the substance during use*, *Related assessment*, and *Remarks* must be filled in. In addition, the fields *Environmental release category (ERC)* under *Contributing activity / technique for the environment* and *Subsequent service life relevant for this use* should be provided, but if unavailable, the field *Sector of end use* must be filled in.
- For a complete record in the subsection **3.5.4 Widespread uses by professional workers** at least the fields *Use name*, *Process Category (PROC)* under *Contributing activity / technique for workers*, *Technical function of the substance during use*, *Related assessment*, and *Remarks* must be filled in. In addition, the fields *Environmental release category (ERC)* under *Contributing activity / technique for the environment* and *Subsequent service life relevant for this use* should be provided, but if unavailable, the field *Sector of end use* must be filled in.
- For a complete record in the subsection **3.5.5 Consumer Uses** at least the fields *Use name*, *Technical function of the substance during use*, *Related assessment*, and *Remarks* must be filled in.
- For a complete record in the subsection **3.5.6 Service Life** at least the fields *Service life name*, *Technical function of the substance during use*, *Related assessment*, and *Remarks* must be filled in.

When completing this IUCLID section, please note that if *other:* is selected in any of the IUCLID section 3.5 picklists then the related free text field must be filled in.

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<sup>7</sup> The Manufacture stage can be described here even though it would not be considered as a "use applied for"

<sup>8</sup> If the article service life stage (i.e. the use of the article containing the Annex XIV substance) is not considered as a use of the Annex XIV substance it must nevertheless be covered in the development of the exposure scenarios

In the following sub-chapters, the content to be provided in one record is detailed.

#### 6.6.4.2. Use identifiers, descriptors, and function

An identified use is to be described by:

- a number;
- a name;
- a brief description of use process;
- tonnage of substance;
- a selection of use descriptors;
- a selection of substance function(s);
- information on whether the use leads to the inclusion of the substance into an article and a possibility to link to the relevant subsequent service life;
- a reference to (an) exposure scenario(s) relevant for that use.

**Use number:** It is recommended that a unique number is entered by the applicant for each row.

**Use name:** The name of the identified use identifies the activity carried out within that use, and must be consistent (if not identical) with the exposure scenario title as described in *Remarks*.

**Further description of use:** Applicants are requested to propose for each "use applied for" a non-confidential broad description, named hereafter as "brief wording".

Pursuant to Article 64(2) of REACH ECHA is required to make available on its website broad information on uses applied for, and open a consultation inviting interested parties to submit information on alternative substances or technologies. This broad information on uses of the Annex XIV substance should be meaningful enough to enable interested parties to submit relevant and useful information on possible alternatives.

In the fields *Further description of use* applicants have the opportunity to propose a public description ("brief wording") for each "use applied for". This "brief wording", which is dedicated to the consultation on alternatives, is recommended to contain the following set of public information:

- i. Name of the "use applied for"<sup>9</sup>
- ii. Key elements on the conditions and constraints under which the substance is used and the function is delivered (e.g. process conditions, quality criteria for the end-product etc)
- iii. Annual average tonnage
- iv. Review period requested
- v. List of descriptors (codes for ERC, PROC, PC, SU, AC and picklist values for the function)

---

<sup>9</sup> This can be the same as the "Use name" in section 3.10, if it is considered as public. In that case, it doesn't need to be repeated in this field. A simple reference to the name of the use applied for can be made instead.

Based on i) the proposed "brief wording" submitted by the applicant and ii) the information contained in the application, ECHA will establish an initial version of this "brief wording" and will invite the applicant to provide comments within a specified deadline. On the basis of the applicant's comments ECHA will establish and communicate to the applicant the final "brief wording" of the broad information on uses.

After the fee for an application for authorisation has been received, ECHA will publish on its website for the purpose of the consultation on alternative substances or technologies: the final version of the "brief wording", the public version of the exposure scenarios (sections 9 and 10 of the CSR) , the Summary table of representative RMMs and OCs, the public version of the Analysis of Alternatives, the public summary of the substitution plan (where relevant), and the public version of the Socio Economic Analysis.

**Contributing activity / technique for the environment - Environmental release category (ERC):** a new repeatable block should be added under this title, and an ERC descriptor should be selected which describes the broad conditions of the use from the environmental perspective. Alternatively, A CSV file can be imported.

**Contributing activity / technique for workers - Process category (PROC):** a new repeatable block should be added for each *Contributing activity / technique* within the use. The name and PROCs respective to each activity / technique must be indicated. Alternatively, a single repeatable block can be added under this title, and all the PROC descriptors must be selected which describe the application techniques or process types involved in the specific use, defined from the occupational perspective. However, in the CSR the workers exposure must always be assessed per Contributing scenario. Alternatively, A CSV file can be imported.

**Product category used (PC):** the chemical product category describes in which types of chemical products (= substances as such or in mixture) the substance is finally contained when it is supplied to end-uses.

**Sector of end use (SU):** this descriptor describes in which sector of the economy the substance is used. This includes mixing or re-packing of substances at formulator's level as well as industrial, professional and consumer end-uses.

**Technical function of the substance during use:** In addition to the use descriptors, applicants should also indicate for each use the function(s) of the Annex XIV substance in the picklist *Technical function of substance during use*. If the function of the Annex XIV substance is not available in the picklist, you should select *Other* and type the appropriate information in the text field below.

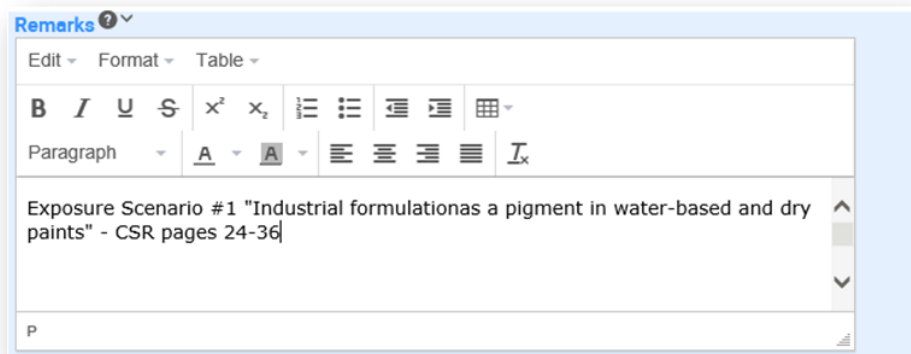
**Substance supplied to that use in the form of:** select as appropriate by clicking one or the two checkboxes specifying that the substance is supplied *as such* or *in a mixture* for that use.

**Tonnage of this substance for this use (tonnes/year):** this information could be reported here and shall be consistent with information documented in the related exposure scenario and the brief wording proposal.

The use-descriptor system is based on five separate descriptor lists which in combination with each other form a brief description of use, also to be used as an exposure scenario title.

**Related assessment and Remarks:** These mandatory fields enable the applicant to create links between "uses applied for" and exposure scenarios. At the *Remarks* field it is important to make a reference to the respective for the use exposure scenario number and name (short title) which is present in the CSR provided by the applicant. The name of the exposure scenario (short title) should be consistent (if not identical) to the name of the use.



**Figure 25: Providing a reference to the exposure scenario for a use applied for**

Each use in IUCLID section 3.5 which is applied for (i.e. that is also listed in IUCLID section 3.10) shall refer to an exposure scenario, at the *Remarks* field. The reference shall allow ECHA to retrieve the exposure scenario covering this use in the related Chemical Safety Report and in the public version of the exposure scenario (if provided).

The fields under *Contributing scenarios for the environment (related to workers activities)*, *Contributing scenario for the workers*, and *Use takes place under rigorously contained conditions* are optional and thus don't need to be filled in. Such information is expected to be included in the CSR provided in section 13.

### 6.6.5. (Optional) Section 3.6 Uses advised against

This optional section enables the applicant to provide information on use(s) advised against as specified in the REACH regulation (section 3.7 of Annex VI).

The hierarchical structure of IUCLID section 3.6 is similar to the structure of IUCLID section 3.5 (*Use and exposure information*). Moreover, the standard descriptor system to be used here is strictly the same as the one already described for the identification of uses in IUCLID section 3.5. Please refer to all indications described in chapters 7.6.4.1 and 7.6.4.2 of this manual to fill in the required information.

If no uses advised against have been identified then you should not enter any information in section 3.6 *Uses advised against*.

If you have identified use(s) advised against (e.g. uses already covered by a restriction set out in Annex XVII of REACH), then you can add a record for each use advised against and fill in the information required. It is recommended to fill in as a minimum the field *Use name*.

### 6.6.6. (Optional) Section 3.7 Environmental assessment from aggregated sources

This section is optional and thus don't need to be filled in. Such information can be included in the CSR provided in section 13.



### 6.6.7. Section 3.10 Application for authorisation of uses

This section should contain specific information related to the application for an authorisation of use.

This section enables the applicant to apply for multiple uses for authorisation. To enter your data, you must create a *New document* for each use applied for.

Each record shall contain the following assessment reports:

- i. an analysis of alternatives;
- ii. a substitution plan (where relevant);
- iii. a socio-economic analysis (where relevant - recommended to include also for adequate control route applications); and
- iv. a justification for not considering certain risks (where relevant).

The analysis of alternatives and the socio-economic analysis can also be prepared in one document, instead of two separate documents.

If you have developed generic assessment reports which cover all "uses applied for", ECHA recommends that you attach them only in the first record (i.e. for Use#1). For the following records (i.e. Use#2, Use#3 etc...) you can therefore only refer to the appropriate parts (chapters, pages...) of the documents attached in the first main record.

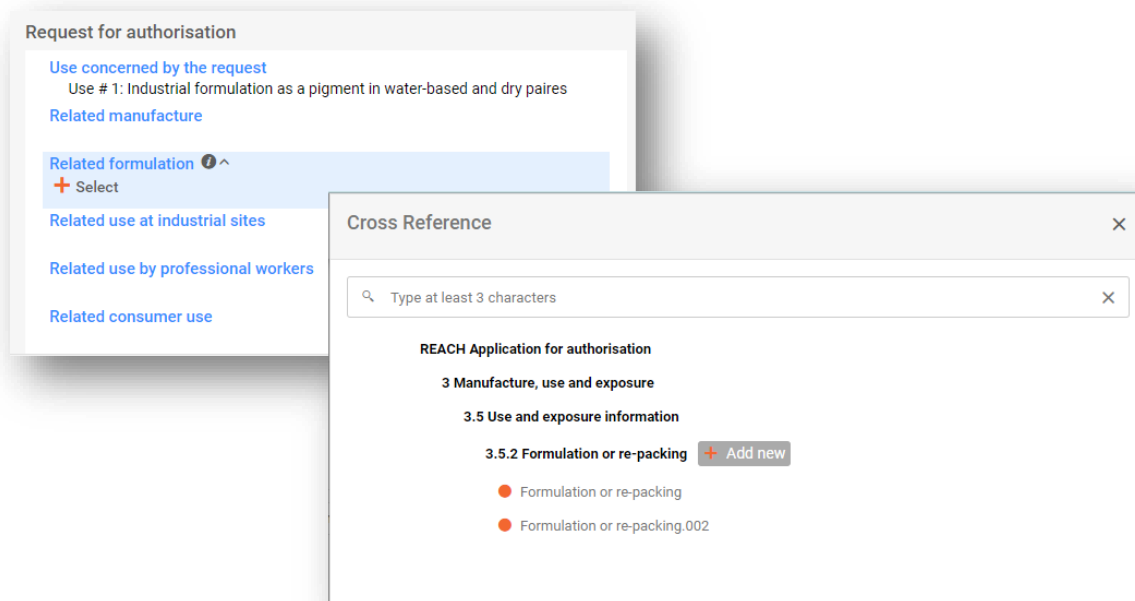
In the following sub-chapters, the content to be provided in each record is detailed.

#### 6.6.7.1. Request for authorisation (for one use: Use#1)

In the field *Use concerned by the request* fill in the name and number of the use applied for.

In case of an application for more than one uses, use a sequential number for each use, starting from 1.

Click on the relevant field and then on the *Select* button to link the "use applied for" to an "identified use" which has already been described in the IUCLID section 3.5. This will in particular enable a mandatory link (preferably one to one) between the "use applied for authorisation" and an exposure scenario in an accessible Chemical Safety Report (reference to the exposure scenario is provided in section 3.5).

**Figure 26: Description of the "Use concerned by the request" and link to IUCLID section 3.5**

The text in the field *Use concerned by the request* in IUCLID section 3.10 is considered by ECHA to be the name (and number) of a "use applied for", i.e. a use for which the application is intended and an authorisation is sought.

As for the consistency between IUCLID section 3.10 and the linked identified use in section 3.5, although it is also recommended that the use numbers and names given in these sections match, this is not mandatory. However, the name in section 3.10 has precedence over the name in section 3.5.

### 6.6.7.2. Scale of use

In this section indicate whether the use applied for is requested for:

- applicant's own sites,
- downstream users' sites,
- or both.

You should also indicate (or estimate) the total number of sites covered: your own sites and the ones from your downstream users, if applicable. For joint applications, indicate here the total number of sites covered by all applicants.

### 6.6.7.3. Analysis of the alternatives

The analysis of alternatives shall be included in the application for authorisation dossier.

The analysis of alternatives shall be provided following the format available on the ECHA website (<http://echa.europa.eu/web/guest/applying-for-authorisation>) and the *Guidance on the preparation of an application for authorisation* at:

<http://echa.europa.eu/web/guest/guidance-documents/guidance-on-reach>.

It is also possible to prepare a combined analysis of alternatives, socio-economic analysis and substitution plan in one document. In this case, use the corresponding format indicated at ECHA website and attach the document in the field *Analysis of the alternatives*.

In case the analysis of alternatives contains confidential information, you shall prepare two versions.

- *Document* field: Add a public version of the analysis of alternatives documentation by clicking the *Select file* button and selecting the file to be inserted. This is the version to be published by ECHA during the consultation on alternatives.
- *Document (confidential)* field: In this field add the confidential version, if relevant.
- *Remarks* field: If necessary, provide any additional comment here.

### 6.6.7.4. Socio-economic analysis

Where relevant, the application may include a Socio-Economic Analysis (SEA) conducted in accordance with the format available on the ECHA website (<http://echa.europa.eu/web/guest/applying-for-authorisation>) and the *Guidance on the preparation of socio-economic analysis as part of an application for authorisation* at:

<http://echa.europa.eu/web/guest/guidance-documents/guidance-on-reach>.

It is also possible to prepare a combined analysis of alternative, socio-economic analysis, and substitution plan in one document. In this case, use the corresponding format indicated at ECHA website and attach the document in the field "analysis of alternatives". If combined format is used, there is no need to attach the document also at the field "socio-economic analysis".

- *Document* field: Add a public version of the socio-economic analysis documentation by clicking the *Select file* button and selecting the file to be inserted. This is the version to be published by ECHA during the consultation on alternatives.
- *Document (confidential)* field: In this field add the confidential version, if relevant.
- *Remarks* field: If necessary, provide any additional comment here.

### 6.6.7.5. Substitution plan

Where relevant, the application may include a substitution plan following the format available on the ECHA website (<http://echa.europa.eu/web/guest/applying-for-authorisation>) and the *Guidance on the preparation of an application for authorisation* at: <http://echa.europa.eu/web/guest/guidance-documents/guidance-on-reach>.

It is also possible to prepare a combined analysis of alternative, socio-economic analysis, and substitution plan in one document. In this case, use the corresponding format indicated at ECHA website and attach the document in the field "analysis of alternatives". If combined format is used, there is no need to attach the document also at the field "Substitution plan".

- *Document* field: Add a public version of the substitution plan documentation by clicking the *Select file* button and selecting the file to be inserted. This is the version to be published by ECHA during the consultation on alternatives.
- *Document (confidential)* field: In this field add the confidential version, if relevant.
- *Remarks* field: If necessary, provide any additional comment here.

### 6.6.7.6. Justification for not considering risks to human health and environment

- *Remarks* field: Enter the justification for not considering risks to human health and the environment arising either from emissions of a substance or discharges of a substance according to Article 62(5)(b)(i) and (ii), or
- *Document* field: Add a public version of the socio-economic analysis documentation by clicking the *Select file* button and selecting the file to be inserted. This is the version to be published by ECHA during the consultation on alternatives.

### 6.6.7.7. Reference to other applications or previous authorisations (for subsequent applications)

An application for authorisation may refer to previous applications for authorisation for the same substance(s) and use(s). This is mentioned in the REACH Regulation as "subsequent application". The following two situations are possible:

- i. if you have the permission from a previous applicant who has applied for an authorisation for the same substance and use(s), you can refer to the appropriate parts of the previous application submitted and which is still under process;
- ii. if you have the permission from the holder of a previously granted authorisation who has applied for the same substance and use(s), you can refer to the appropriate parts of the previous application submitted.

For more information please refer to the "Guidance on the preparation of an application for authorisation" at: <http://echa.europa.eu/web/guest/guidance-documents/guidance-on-reach>

Click the *New item* button to open the repeatable block. An empty block is now ready to be filled in. Describe the reference to previous authorisations or other applications for which you have a written permission. If more than one reference needs to be specified, add a new block for each

one.

- **Written permission checkbox:** Select the checkbox and attach a copy of the relevant document(s) by clicking the *Select file* button in the *Document* field.
- **Remarks field:** Provide any additional comment on the previous authorisation. Note that for subsequent applications, reference numbers from other applications or granted authorisations (submission numbers and/or authorisation numbers) must be reported in section 1.3 of IUCLID or in the dossier header (see chapter 7.4.3 of this manual).

Applicants are strongly recommended to provide clear justifications on the reasons why they refer to a previous application, and to demonstrate the relevance and the purpose that the referral plays in their application.

When referring to different parts of other applications particular attention should be paid to the identification of the uses (i.e. numbering and description). For example Use#1 of the subsequent applicant may differ from Use#1 of the initial applicant. The same applies to any references to the *Exposure scenarios* in the CSR of the previous applicant. See also chapter 10.2 of this manual.

#### 6.6.7.8. Request for authorisation for additional uses (Use#n)

Once the first record has been filled in for Use#1, the same approach can be taken for Use#2 in the second record and accordingly any additional uses.

If your assessment reports (analysis of alternatives, or socio-economic analysis or substitution plan) are specific to the use described in the block, you can attach them as instructed for Use#1 in the first record.

However, if the scope of the assessment report covers several uses, do not duplicate the same document in the next blocks, but rather refer to certain parts of the reports already attached in the first record.

Note that a new record must be created for each different "use applied for".

**Multi-substance applications:** For applications for several substances, section 3.10 allows to indicate which uses apply for which substance in the application. For instance, if a use applies to all substances it shall be listed in sections 3.10 of all substance datasets to be assigned to the category; if a use applies only to one (or some) of the substances, it shall be listed only in section

3.10 of the relevant substance dataset(s). See also chapter 7.2 of this manual.

**Joint applications:** Create a new main repeatable block for each different "use applied for". The mapping of uses per applicant (and per substance if relevant) has to be made using REACH-IT when applicant confirms his participation (see chapter 10 of this manual).

#### 6.6.7.9. Brief wording on uses

Applicants are requested to propose for each "use applied for" a non-confidential broad description, named "brief wording". The "brief wording" should be provided in section 3.5 of the IUCLID dossier (see chapter 6.6.4.2 of this manual).

### 6.7. (Optional) Sections 4 to 7 - Endpoint sections

Although information related to IUCLID sections 4–7 is not mandatory for an application for

authorisation, applicants may wish to provide them in their dossier either as a copy of an existing registration dataset of the Annex XIV substance or as a specific set of information (see chapter 7.1 of this manual).

Further instructions on how create a substance dataset and how to fill out IUCLID sections 4 to 7 can be found in the manual *How to prepare registration and PPORD dossiers*.

## 6.8. (Optional) Section 8 Analytical methods

IUCLID section 8 can be used for summarising analytical methods for determining a given substance in various matrices. Depending on the requirements of the relevant legislation, methods for the following matrices may have to be recorded: soil, sediment, suspended particulates, air, water (including drinking water), animal and human body fluids and tissues, plants, plant products, food and feedingstuffs, formulated product, other.

Further instructions on how to fill out IUCLID section 8 can be found in the manual *How to prepare registration and PPORD dossiers*.

## 6.9. (Optional) Section 11 Guidance on safe use

Applicants may provide guidance on safe use in this optional IUCLID section by filling out the following fields:

- i. First aid measures;
- ii. Fire-fighting measures;
- iii. Accidental release measures;
- iv. Handling and storage;
- v. Transport information;
- vi. Exposure controls / personal protection;
- vii. Stability and reactivity;
- viii.viii.Disposal consideration.

Further instructions on how to fill out IUCLID section 11 can be found in the manual *How to prepare registration and PPORD dossiers*.

## 6.10. (Optional) Section 12 Literature search

This optional IUCLID section can be used to record any literature search(es) carried out. Specify the date of the literature search in field *Date* (only format yyyy-MM-dd allowed, e.g. 2011-03-

20).

In the field *Remarks*, describe the databases searched and the main search profile. Indicate the major search results, e.g. state for which endpoints no information could be retrieved.

It is also possible to attach the document with the literature search profile by clicking on the paperclip icon *Attachments* at the top right of the record.

## 6.11. Section 13 Assessment reports

IUCLID section 13 is a section in which different assessment reports can be attached covering information not documented in other IUCLID sections.

All applications must contain at least two records in IUCLID section 13: one including the Chemical Safety Report (CSR) and one including the summary of risk management measures (RMMs) and operational conditions (OCs).

During the consultation on alternatives, ECHA will publish the exposure scenarios covering your “uses applied for” as documented in the CSR (chapters 9 and 10 of the CSR), as well as the summary table of representative RMMs and OCs. Should you consider this information confidential, please attach in this section in addition to the CSR, public versions of the exposure scenarios covering your “uses applied for” (e.g. such as those annexed to an e-SDS) and of the summary of representative RMMs and OCs, preferably in the form of editable text documents.

### 6.11.1. Section 13.1 Chemical Safety Report (CSR)

A Chemical Safety Report (CSR) must be provided in IUCLID section 13.1.

In case the CSR contains confidential information or it is provided in a protected format, you shall prepare two versions, in two separate records in section 13.1:

- i. a complete / confidential version containing all relevant sections of the CSR;
- ii. and a public version containing only Part A sections 2 and 3 (i.e. declarations that RMMs are implemented and communicated) and Part B sections 9 and 10 (i.e. Exposure Assessment and Risk Characterisation)

Part A section 1 of the CSR is recommended to be provided as a separate document (see chapter 6.11.2 below).

Attach the CSR(s) in IUCLID section 13.1 as described below.

**Step 1.** Create a record in section 13.1.

**Step 2.** Select the *Type of CSR*: if you are a lead registrant, select whether it is a joint CSR that you submit on behalf of all members, or if it is an own CSR. You can also indicate if your own CSR is based on a jointly prepared CSR.

**Step 3.** Select the content of the attached CSR in the picklist *CSR contains* i.e. whether the CSR contains part A, or part B with hazard assessment, or part B with exposure assessment, or a combination of them.

**Step 4.** Indicate the type of tool used for performing the CSA and generating the CSR in the field *Chemical safety assessment/report tool used* (e.g. if you have used Chesar).

- Step 5.** Attach the CSR in the field *Chemical safety report (CSR)*.
- Step 6.** If you used a tool for performing your assessment and generating the report, you can also attach the export file from this tool in the field *Export file (safety assessment / exposure estimation tool)*.
- Step 7.** In the subsequent fields you can provide additional details on the attached files (for example if you attach an assessment tool export file, you may want to indicate the version used) or other explanations.

### 6.11.2. Summary of risk management measures (RMMs) and operational conditions (OCs)

A summary of risk management measures (RMMs) and operational conditions (OCs) must be attached in IUCLID section 13.2.

This succinct summary table of representative RMMs and OCs shall be provided following the format available on the ECHA website (<http://echa.europa.eu/web/guest/applying-for-authorisation>) and it replaces Part A section 1 of the CSR.

To attach a report:

- Step 1.** Create a record in section 13.2.
- Step 2.** Select the *Type of report: REACH application for authorisation: summary of representative RMMs and OC*.
- Step 3.** Attach the report in the field *Document/report*.

### 6.11.3. Other supporting documentation

Any additional reports which provide information which cannot be documented in the other IUCLID sections should be included in new records in section 13. Such reports could for example comprise any modeling reports, calculation sheets, or mapping of changes performed (the latter may be relevant for updates in response to ECHA's Committees requests to bring the application in conformity) (see chapter 13.1).

## 7. How to create a Dossier

Once you have included all relevant information in your substance dataset, the next step is to create a dossier.

Before creating a dossier you are advised to check the completeness of your substance dataset by running the *Validation assistant*. For more information on how to run the Validation assistant refer to the help system of IUCLID.

- Step 1.** To create a dossier open the list of available substance datasets by clicking on the button entitled *Substances* in the IUCLID Dashboard.
- Step 2.** All available substances will be displayed in the *Substances* list page. If a substance does not appear in the list you can search for it using the search field.
- Step 3.** Click on the substance for which you want to create a dossier.



- Step 4.** Before creating a *Dossier* a *Working context (submission type)* must be selected. Click on the *Working context* field and select the right submission type from the picklist. Choosing the correct dossier template by selecting the *Working context* is essential for a successful submission. Before exporting your dossier you have to make sure that the selected template corresponds with the intended submission.
- Step 5.** Click on *Create Dossier* in the top right-hand corner of the screen.

The selection of the *Working context* allows the IUCLID interface to present to the user at the start of *Dossier* creation, either a pre-filled or blank *Dossier header* of the correct type.

**For instructions on how to fill the administrative information in the Dossier header, please see the following subchapters.**

Information contained in the dossier header is crucial for business rules checking when you submit your dossier. Missing or incorrect information can result in that your submission cannot be accepted for further processing and will be automatically removed from the system. In this case you need to create a new dossier with corrected information and submit it again. For more information refer to the Annex: *Overview of the business rules checks performed by ECHA on the submitted dossiers*.

- Step 6.** From the *Dossier header* page you can either use default settings and create your dossier by clicking on *Create dossier* at the foot of the page, or access the *Advanced settings* for dossier creation by clicking on the *Advanced settings* button.

**Figure 27: Dossier header page with 'Create dossier' and 'Advanced settings' buttons.**

The screenshot displays the IUCLID 6 interface for creating a dossier. The page title is "REACH Registration above 1000 tonnes". The form includes the following elements:

- Dossier name (given by user)**: A text input field.
- Dossier submission remark**: A text input field.
- Type of submission**: A section with a checkbox for "Joint submission".
- Tonnage band(s) of the registrant**: A section with two radio button options: "On-site isolated intermediates tonnage band (REACH Article 17)" and "Transported isolated intermediates tonnage band (REACH Article 18)".
- Specific submissions**: A section with a checkbox for "The submission is an update".
- Dossier specific information**: A section with "Phase-in status\*" set to "not specified".

At the bottom right of the form, there are two buttons: "Create dossier" and "Advanced settings", both of which are highlighted with red boxes in the image.

- Step 7.** From the *Advanced settings* window you can define the confidentiality level by selecting the data protection flags. If you have included any confidentiality or regulatory programme flags in your substance dataset, please make sure that the relevant information is included in your dossier by selecting the appropriate flags in this step. If you are unsure, it is recommended to select the defaults option. ECHA will assess the confidentiality of the information and the justifications provided. You can find more information on the publication of part of the dossier on the ECHA website at <http://echa.europa.eu/manuals>.
- Step 8.** From the *Advanced settings* window you can select whether the annotations should be included in the dossier.
- Step 9.** By ticking the checkbox *Select documents to be included* and clicking *Next* you can verify and select which documents and entities will be included in your dossier. Certain documents, such as section 1.1, will always be included in a dossier, and cannot be excluded in this step. Likewise, depending on the submission type, some documents will not appear in the list and cannot be included as they are not relevant for the selected submission type. If you are unsure of the information to be included, you can rely on the default settings for that submission type.
- Step 10.** To finalise the creation of your dossier click on *Create dossier* at the bottom of the *Advanced settings* window.

Note that the instructions here do not cover completely applications for specific types of dossiers such as applications for more than one substances or subsequent applications as defined in Article 63 of REACH. For such applications, before a dossier is created please check the additional specific instructions provided in the respective chapter of this manual (for applications for several substances please see chapter 6.2; for subsequent applications, updates and review reports please see chapter 13.3).

## 7.1. Name of the dossier


In the field *Dossier name (given by the user)*, enter an appropriate name which enables you to easily identify the dossier when searching or exporting it from IUCLID. It may be useful to refer to the substance name and the dossier version, in case several were created.

## 7.2. Specific submissions

See chapter 13 for specific submissions (i.e. updates, subsequent applications and review reports).

## 8. How to export a Dossier

To start the export process, first search for the *Dossier* by clicking on *Substances* on the IUCLID Dashboard. In the *Substances* page, click the *Dossiers* button in the top right-hand corner of the screen and then select the relevant dossier among those displayed in the list by clicking on it. A *Dossier* is indicated by a lock icon at the lower right of the entry in the list.

Once your *Dossier* screen is open click on the icon with three dots  displayed in the top right-hand corner of the screen. To export your dossier click *Export to i6z*.

## 9. Submit Dossier

To submit your dossier to ECHA you must sign-up in REACH-IT with the legal entity details of the submitting entity, and follow the instructions provided there for your specific type of submission.

You can access REACH-IT from ECHA website: <http://www.echa.europa.eu/> or go directly to the REACH-IT website: <https://reach-it.echa.europa.eu/>.

ECHA has established preferred submission windows for submitting applications for authorisation (see submission dates at: <https://echa.europa.eu/applying-for-authorisation/submission-windows>). This relates mainly to the need for synchronisation with the scheduled meetings of ECHA's Risk Assessment and Socio-Economic Analysis Committees, and intends to ensure the workability and efficiency of the opinion-making process of the Committees. Uploading your application within these windows can ensure the minimum processing time for your application by ECHA and its Committees. Uploading during the first days of these windows can in fact reduce the risk of missing a specific period's deadline due to failing the business rules check, which could result in a delay up to three months before the invoice can be issued.

It is important that the company size, contact information, and the company address indicated in your REACH-IT account, under the section *Company information*, are correct. ECHA will use the company size to determine the fee for your application. The Commission will use the company address at the end of the process to send to the applicant the final decision on the application for authorisation.

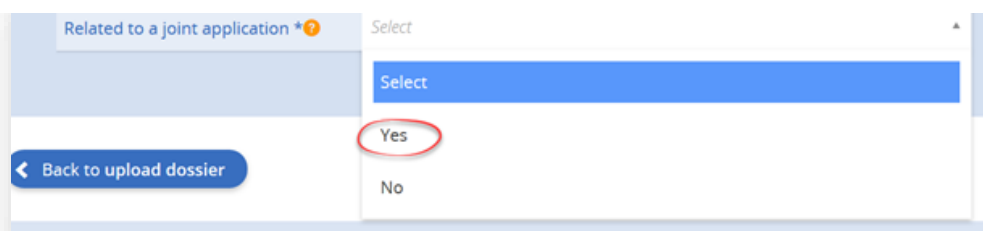
After having uploaded the dossier, the applicant is required to monitor their REACH-IT message box to follow the progress of their application. In case the dossier cannot be accepted for processing, ECHA will communicate the reason to the applicant by a REACH-IT internal message, and the applicant is asked to submit a new application.

For further information on the use of REACH-IT message box, please consult the help system of REACH-IT.

## 10. How to submit a joint application

### 10.1. Submitting applicant submits joint application dossier

Sign-up in REACH-IT with the legal entity details of the submitting entity and submit the IUCLID dossier. Start by clicking the link '*Upload a IUCLID dossier*' in the menu under *Submit > Application for authorisation*. In the third step of the submission wizard, '*Additional details*', it is

**Figure 28: Related to a joint application**

important to select 'Yes' in the section 'Related to a joint application'.

After the submitting applicant has confirmed the submission, a submission report page will be created. The page has a section reserved for the joint application. REACH-IT will create the joint application page only after the IUCLID dossier submission has reached the business rules check step. Until then the submission report page will remain with limited information.

It may take up to several minutes for the submission to reach the business rules step. When the submission has reached the business rules check step, REACH-IT will automatically create the joint application in REACH-IT based on the uses and substances reported in the IUCLID dossier.

At this point, the submitting applicant also receives a message in their REACH-IT message box. The message contains a link to the joint application page, and information concerning the application.

## 10.2. Submitting applicant provides company specific information

Submitting applicant needs to provide company specific information, in similar manner as the co-applicants, upon first entry to the joint application page. Follow the link in the message to enter the wizard.

### *Contact details*

First information to provide is the contact person. For the submitting applicant, the contact person is by the default the same contact person as for the IUCLID dossier submission. Change the contact person if needed, by clicking the 'Assign' button. Note that this contact information is shown to the other applicants in the joint application.

### *Uses and sites*

In the step 'Uses and sites', the applicant must select all the uses that apply to their company.

For each selected use, the applicant must indicate whether the use covers their own site, or downstream user sites, or both.

Regardless of the site coverage selections, the applicant must provide the total number of sites covered by the particular use. Please enter either exact number of the sites, or estimation. If the use covers applicant's own sites, the applicant must provide address details. Site address and country are required.

**Figure 29: Uses and sites**

| Use description | Substance name           | Uses and substances applied for     | Covers applicant's own sites                     | Covers downstream users' sites      | Number of sites covered |
|-----------------|--------------------------|-------------------------------------|--------------------------------------------------|-------------------------------------|-------------------------|
| test use 1      | Reaction mass of 2-et... | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> Site address | <input checked="" type="checkbox"/> | > - 15                  |
| test use 2      | Reaction mass of 2-et... | <input type="checkbox"/>            | <input type="checkbox"/>                         | <input type="checkbox"/>            |                         |

### *Role in the supply chain*

In the step '*Role in the supply chain*' the applicant must select at least one role. It is possible to select multiple roles. Note that for multi-substance applications, applicant is prompted to select the roles per substance.

### *Language of the decision of the European Commission*

In the step '*Language*', indicate the language for the decision from the European Commission. The options are the language of the application, or the official language of your country.

### *Confirmation*

In the final step '*Confirmation*', please review the provided information, and edit when necessary. Note that the provided information cannot be edited after confirmation. Click the confirmation button when all information is correct. After successful confirmation, click the joint application name to view the joint application page.

At this point, the submitting applicant also receives a message in their REACH-IT message box. The message contains a link to the joint application page, and information concerning the application. The submitting applicant will receive a similar message every time a co-applicant has successfully joined the joint application.

## **10.3. Submitting applicant sends security token and name of the application to co-applicants**

Submitting applicant needs to provide to the co-applicants the security token, along with the name of the joint application. The co-applicants can join the joint application immediately after receiving the information from the submitting applicant.

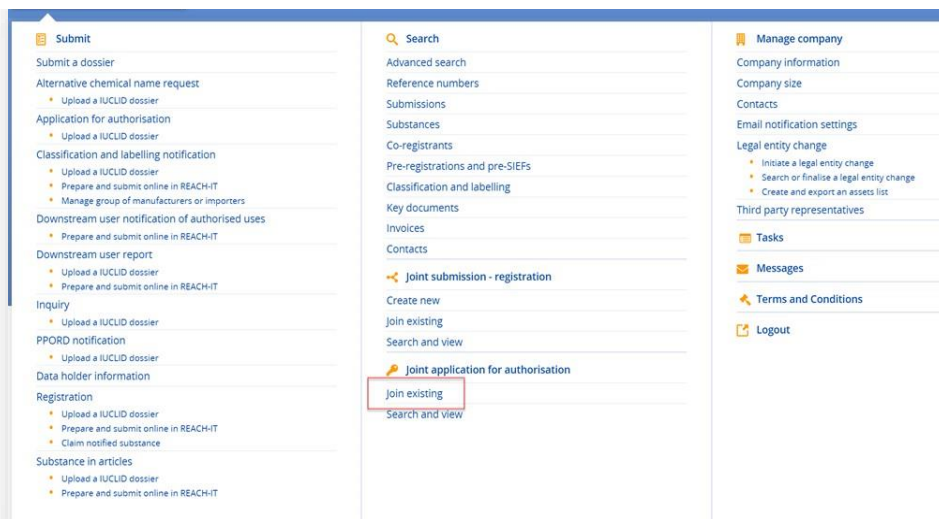
If submitting applicant wishes, he can create a new security token, and set an expiry date. A new security token can be created on the joint application page by clicking the button '*Create new token*'. If needed, set an expiry date for the token. Note that the old token will be invalid after creation of a new token.

In the joint application information section, the submitting applicant can leave a message to the applicants of the joint application by clicking the button '*Edit*' under '*Supplementary information*'. The text is visible to all the applicants of the joint application.

## 10.4. Co-applicant joins the joint application

The co-applicant will receive the name of the joint application and the security token from the submitting applicant. After receiving this information, login to REACH-IT and open the menu. Click 'Join existing' under 'Joint application for authorisation'.

**Figure 30: Join existing application for authorisation**



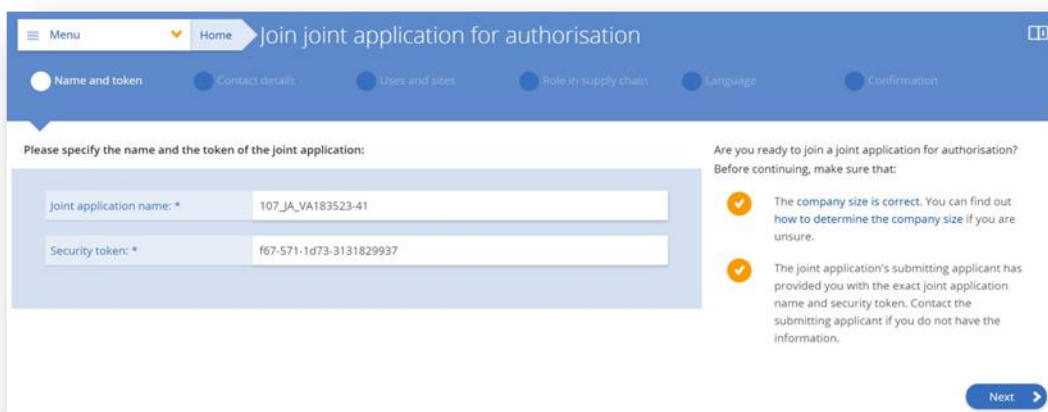
## 10.5. Co-applicant provides company specific information

Co-applicant needs to provide company specific information, in similar manner as the submitting applicant.

### Name and token

First, provide the joint application name and the security token.

**Figure 31: Name and token**



### Contact details

In the next step, provide the contact person details. Note that this contact information is shown to the other applicants in the joint application.

### Uses and sites

In the step 'Uses and sites', the applicant must select all the uses that apply to their company. For each selected use, the applicant must indicate whether the use covers their own site, or downstream user sites, or both.

Regardless of the site coverage selections, the applicant must provide the total number of sites covered by the particular use. Please enter either exact number of the sites, or estimation. If the use covers applicant's own sites, the applicant must provide address details. Site address and country are required.

**Figure 32: Uses and sites**

| Use description | Substance name           | Uses and substances applied for     | Covers applicant's own sites        | Covers downstream users' sites | Number of sites covered |
|-----------------|--------------------------|-------------------------------------|-------------------------------------|--------------------------------|-------------------------|
| test use 1      | Reaction mass of 2-et... | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>       | ca. 10                  |
| test use 2      | Reaction mass of 2-et... | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>       | 1                       |

### Role in the supply chain

In the step 'Role in the supply chain' the applicant must select at least one role. It is possible to select multiple roles. Note that for multi-substance applications, the applicant is prompted to select the roles per substance.

### Language of the decision of the European Commission

In the step 'Language', indicate the language for the decision from the European Commission. The options are the language of the application, or the official language of your country.

### Confirmation

In the final step 'Confirmation', please review the provided information, and edit when necessary. **Note that the provided information cannot be edited after confirmation.** Click the confirmation button when all information is correct. After successful confirmation, click the joint application name to view the joint application page. At this point, the co-applicant also receives a message in their REACH-IT message box. The message contains a link to the joint application page, and information concerning the application. The submitting applicant will receive a copy of this message at the same time.



## 10.6. Submitting applicant confirms the scope of joint application

The button '*Confirm scope of joint application*' will remain disabled until at least one co-applicant has joined the joint application.

When all the co-applicants have joined the joint application, the submitting applicant is required to review the information on the joint application page, and then confirm the scope

Once the scope has been confirmed, any new applicants cannot join the application. All the applicants in the joint application will receive a message about the confirmation of the scope. ECHA will continue processing the application only after the scope has been confirmed.

## 10.7. Joint application page for submitting and co-applicant

On the joint application page, open the help text by clicking the book symbol in the upper left corner of the page. Note that currently help on this page is only available in English.

### 10.7.1. Overview section:

In the joint application page, the submitting applicant, and co-applicants, have the following actions buttons available:

- Edit (Joint application contact)
- Download applicant details

Submitting applicant has slightly different view of the joint application page as compared to the co-applicant view. Submitting applicant has the following additional action buttons that are not available to the co-applicants:

- Confirm scope of joint application
- Edit (Supplementary information)
- Create new token

### 10.7.2. Scope of the joint application for authorisation

Below the overview section is the '*Scope of the joint application for authorisation*' section. This sections lists all the:

- Substances
- Uses
- Applicants

that concern this joint application.



**Figure 33: Join application page - scope of the joint application**

Menu Home Joint application for authorisation 107\_JA\_VA183523-41

Scope of the joint application for authorisation [Download applicant details](#)

**Substances**

Total number of substances: 1

| Substance number | Substance name                                                                                                                                                                                                                                               | EC number | CAS number | Annex XIV entry number |
|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|------------|------------------------|
| 1                | Reaction mass of 2-ethylhexyl 10-ethyl-4,4-dioctyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate and 2-ethylhexyl 10-ethyl-4-[[2-[[2-ethylhexyl]oxy]-2-oxoethyl]thio]-4-octyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate (reaction mass of DOTE and MOTE) |           |            | 22                     |

**Uses**

Total number of uses: 2

| Substance name                                                                                                                                                                                                                                               | Applied use name |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| Reaction mass of 2-ethylhexyl 10-ethyl-4,4-dioctyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate and 2-ethylhexyl 10-ethyl-4-[[2-[[2-ethylhexyl]oxy]-2-oxoethyl]thio]-4-octyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate (reaction mass of DOTE and MOTE) | test use 1       |
| Reaction mass of 2-ethylhexyl 10-ethyl-4,4-dioctyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate and 2-ethylhexyl 10-ethyl-4-[[2-[[2-ethylhexyl]oxy]-2-oxoethyl]thio]-4-octyl-7-oxo-8-oxa-3,5-dithia-4-stannatetradecanoate (reaction mass of DOTE and MOTE) | test use 2       |

**Applicants**

| Company         | Joint application contact                                | Company role         | Decision language same as in application? |
|-----------------|----------------------------------------------------------|----------------------|-------------------------------------------|
| TestCorporation | Test Contact<br>@ test.contact@jatest.com<br>+3584012345 | Submitting applicant |                                           |
| BigCompany      | Big Company test1<br>@ reach@domain.com                  | Co-applicant         | No                                        |

Uses applied for authorisation

### 10.7.3. Uses applied for authorisation

The last section on the page is '*Uses applied for authorisation*'. This section maps each use per substance per applicant combination, as selected by each applicant. The use reference number is based on the reference number that will be available once ECHA has received the application fee.

Each applicant can view their own scale of use under each use, by clicking open the use.

In order to confirm the full scope of the application, submitting applicant can view the co-applicants' scale of use information. However the co-applicants cannot view other applicants' scale of use information.

**Figure 34: Joint application page - uses applied for authorisation**

| Substance name                         | Applied use name | Applicant       | Applicant's role(s) in the supply chain | Use reference number |
|----------------------------------------|------------------|-----------------|-----------------------------------------|----------------------|
| Reaction mass of 2-ethylhexyl 10-et... | test use 1       | BigCompany      | Importer/Downstream user                |                      |
| Reaction mass of 2-ethylhexyl 10-et... | test use 1       | TestCorporation | Manufacturer/Importer                   |                      |
| Reaction mass of 2-ethylhexyl 10-et... | test use 2       | BigCompany      | Importer/Downstream user                |                      |

Scale of use

|                                    |                     |                           |
|------------------------------------|---------------------|---------------------------|
| Covers applicant's own sites: Yes  | Number of sites: =1 | Site address:             |
| Covers downstream users' sites: No |                     | 1. Site street 3 - Greece |

## 10.8. Search joint applications

The REACH-IT menu features a separate section for joint application for authorisation.

At any point after providing the company specific information, it is possible to use search to view the joint applications.

Open the menu and click '*Search and view*' under '*Joint application for authorisation*'.

Use the available search criteria and filters. Sort the results, and download them as csv file.

## 11. Receiving your submission number

After the application (IUCLID dossier) has been uploaded, REACH-IT will automatically issue a preliminary submission number for the application. After this the application is processed by REACH-IT in a series of steps.

In case any of these preliminary checks (virus check, file format validation, XML format check, business rule check) fails, the applicant is asked to modify their substance dataset, create a new dossier and upload it in REACH-IT. REACH-IT will issue a new preliminary submission number for the application.

When the business rule check passes, the applicant is informed, via REACH-IT internal message, of the submission status of their application, and the preliminary submission number will be considered as a submission number.

After the Business Rules check has been passed, and before the invoice is sent, ECHA will

- inform the applicant(s) regarding the main steps and timelines in the processing of their

application

- b. review the proposed “brief wording” on uses that will be published as part of the broad information on uses on ECHA’s website for the purpose of consultation on alternative substances or technologies [Art. 64(2)].
- c. ECHA will establish an initial version of the “brief wording” and will invite the applicant to provide comments within a specified deadline. On the basis of the applicant’s comments ECHA will establish and communicate to the applicant the final “brief wording” of the broad information on uses.

The notice(s) on the “brief wording” of the broad information on uses and the invoice are sent to the applicant via REACH-IT annotations. In case of a joint application, the notice(s) on the “brief wording” of the broad information on uses and a single invoice are sent to the submitting applicant. Invoice information and a copy of the notice on the “brief wording” are provided to the co-applicants.

After successful payment of the invoice, a message will be sent to the applicant via REACH-IT, acknowledging the “date of receipt” of the application and the application for authorisation reference number. In case of a joint application, the message will be sent to the submitting applicant as a REACH-IT annotation and a copy will be provided to the co-applicants.

## 12. Next steps: the opinion and decision making procedure

Once the date of receipt has been set, the application file will be handed-over to ECHA’s Committees for Risk Assessment (RAC) and Socio-economic Analysis (SEAC), who will immediately start performing their tasks in the framework of the opinion-making process. In parallel, a consultation will be launched by ECHA on its website to collect information from third parties on possible alternatives.

ECHA’s Committees may request the applicant to submit (within a specified time period) additional information to bring the application into conformity; the Committee for Socio- Economic Analysis may also require the applicant to submit additional information on possible alternative substances or technologies. Such requests will be communicated to the applicant via REACH-IT. In the case of a joint application, requests and other communication (e.g. draft and final opinions) from ECHA’s Committees will be sent to the submitting applicant and copies will be provided to the co-applicants via REACH-IT.

In case of ECHA requesting additional information, the applicant (submitting applicant, in case of joint application) will need to provide the information via a dedicated web-form.

After the draft opinion is finalised it will be sent to the applicant(s) via REACH-IT. The applicant (submitting applicant, in case of joint application) shall notify ECHA of his intention to comment the draft opinion within one month of receipt of the draft opinion. The comments shall be sent to ECHA via a dedicated web-form (link to be provided in ECHA’s communication) within two months of the receipt of the draft opinion. In case of a joint application, comments to the draft opinion shall be sent by the submitting applicant.

The final opinions of ECHA’s Committees will be sent to the Commission, the Member States and the applicant(s).

The final decision from the Commission will be sent to applicant(s) via registered post. The Commission will use the address(es) specified as general contact in the applicants' REACH-IT account. The letter will be addressed to the contact(s) (First name and Last name) of the REACH-IT account(s). Authorisation numbers will be included in the decision letter for all the substances and uses the authorisation was granted.

## 13. Specific submissions

This section provides instructions on how to submit:

1. updates as requested by the Committees in the context of Article 64(3);
2. subsequent applications as defined by Article 63;
3. review reports in the context of Article 61.

If for any of the above purposes you need to submit further updated (or reviewed) information on your application for authorisation dossier, you do not need to re-type again all your substance data. Instead you can update the information in your substance dataset.

To edit the substance dataset, select it from the Substances list page and fill in or update the relevant data. When the dataset is ready you can create a dossier (see chapter [How to create a Dossier](#)).

When creating your dossier, specify the type of specific submission.

To export and submit the dossier, please refer to chapters 9, 10 and 11 of this manual.

### 13.1. Requested update (to bring the application in conformity)

In case of an update made on request of the Committees as per Article 64(3), and in particular in the specific situation where this is a request to bring the application in conformity, you may be requested to resubmit to ECHA the updated version of your initial IUCLID dossier and attach in IUCLID section 13 a document indicating where exactly you have made the updates (e.g. IUCLID sections and/or sub-sections, attachments and/or their related parts etc).

When creating your updated dossier the checkboxes *The submission is an update* and consecutively *Further to a request/decision from regulatory body* must be selected. The last submission number and the annotation number in the request letter must be entered in their respective fields.

### 13.2. Spontaneous update

This type of update is not allowed and will not be processed by ECHA.

Please ensure that the checkbox *Spontaneous update* is not selected.

### 13.3. Subsequent application

In case of subsequent applications made in accordance with Article 63(1) and (2) please submit to ECHA your initial IUCLID dossier as instructed in chapters 10 to 11 of this manual.

IUCLID sections 1.1, 1.2, and 1.3 cannot be covered by a reference to parts of a previous application. You need to complete them as instructed in chapters 7.3.1, 7.3.2, and 7.3.3 of this manual.

All “uses applied for” in a subsequent application must be listed in the IUCLID section 3.10:

- a. to ensure the clarity and the workability of a subsequent application it is strongly recommended that the applicant submits a subsequent application only if he/she refers to the same combination of use(s) and substance(s) already submitted in a previous application.
- b. uses that refer to other applications must keep the same description (e.g. name and descriptors) and if possible the same numbering. It is also strongly recommended that i) you attach in the IUCLID section 3.10 as described in chapter 7.5.7, the (updated) assessment reports that you are referring to, and ii) you provide clear justifications on the reasons why you refer to a previous application, and demonstrate the relevance and the purpose, of that reference, for your application. These justifications can be made in the corresponding “Remarks” field of the main repeatable block of IUCLID section 3.10. Please see chapter 7.10.1 ( when referring to a CSR which is not part of your application.
- c. Attached (updated) assessment reports for uses referring to other applications will be the actual versions to be considered by ECHA for opinion forming; i.e. they have precedence over the assessment reports in the application referring to.
- d. For solely referred (not attached) assessment reports ECHA will retrieve the versions which correspond to the “last submission number” of the application referring to, as indicated by the applicant. Any potential further updates of the previous application (the application referring to) submitted by the previous applicant will not be considered for opinion forming<sup>10</sup>.
- e. uses that do not refer to other applications must be documented in IUCLID section 3.10 as instructed in part 7.5.7 of this manual. They must also be linked to an accessible CSR via the reference to the exposure scenarios in IUCLID section 3.5. (see chapter 7.5.4.2);

Written and valid permissions from the previous applicant(s) must be attached under the block *Reference to other applications or previous authorisations* in IUCLID section 3.10.

It is important that you clearly indicate the parts of the other applications that you refer to. This information should be attached as a document in IUCLID section 13.

<sup>10</sup> All updates receive a new submission number, which will therefore be different from the last submission number indicated

When creating your dossier: ensure that in the dossier header *The submission is a subsequent application* is selected. If you submit an application under Article 63(1), please write the last submission number of the application you are referring to in the *Last submission number* free text field.

### 13.4. Review report

In case of a review report, please resubmit to ECHA your reviewed/updated IUCLID dossier.

- i. IUCLID section 13 can be used to attach an Explanatory Note - a brief note explaining what has changed since the original application was made and since the authorisation was granted;
- ii. IUCLID section 1.3 must be filled in with the previous authorisation number. See chapter 7.3.3;
- iii. When creating the dossier, in the dossier header the checkbox *The submission is a review report* must be selected. No last submission number needs to be indicated in the *Last submission number* free text field.

## 14. Annex 1. Overview of the business rules checks performed by ECHA on the submitted dossiers

Business rules are a set of dossier format and administrative pre-requisites that must be fulfilled before ECHA can establish that the dossier can be handled properly and that the required regulatory processes can be successfully carried out. Business rules do not assess the completeness of the data provided or conformity of an application. If the dossier submission fails at the business rule level, the dossier will be automatically removed from the system, and a new submission is required before any regulatory processes can be initiated.

This document will guide you through the basic requirements of creating the substance dataset and the IUCLID dossier header. In addition, it is recommended to use the IUCLID Validation Assistant on the substance dataset and also on the final dossier before exporting it from IUCLID. Click on your substance dataset or on the dossier in the IUCLID Substances page list and click *Validate*. The Validation Assistant will check only some of the business rules. For instance some of the business rules depend on the submission context (e.g., validity of reference number, duplicate submissions, etc.), and therefore the Validation Assistant cannot simulate all the business rules checked by the Agency.

| Business Rules applicable for Application for Authorisation    |                                                                                                                                                                                                     |                               |
|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| Location (IUCLID/REACH-IT)                                     | Rule description                                                                                                                                                                                    | Relevance                     |
| IUCLID substance dataset                                       | An application for authorisation dossier must be created from a substance dataset. It cannot be created out of a mixture or product dataset.                                                        | Application for Authorisation |
| IUCLID substance dataset                                       | If you wish to include a category in the dossier, you need to create the dossier from a substance dataset that has been assigned to the category.                                                   | Application for Authorisation |
| IUCLID – all sections                                          | An application for authorisation must be submitted in one of the official EU languages.                                                                                                             | Application for Authorisation |
| IUCLID section 1.1 – Identification                            | Select a role in the supply chain in IUCLID section 1.1.                                                                                                                                            | Application for Authorisation |
| IUCLID section 1.1 - Identification                            | The 'Only representative' as a role in the supply chain cannot be marked together with 'Manufacturer' or 'Importer'. Separate legal entities are required for each non-EU manufacturer represented. | Application for Authorisation |
| IUCLID section 1.1 – Identification                            | A reference substance must exist in section 1.1.                                                                                                                                                    | All dossier types             |
| IUCLID section 1.1 – Identification; section 1.2 – Composition | Each reference substance in section 1.1 and 1.2 must contain a substance identifier. An acceptable substance identifier is:<br>- EC/List number                                                     | Application for Authorisation |

|                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                               |
|-----------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
|                                                                       | <p>- CAS number<br/>- IUPAC name</p> <p>Any EC/List number defined in section 1.1 and 1.2 of IUCLID must exist in the REACH-IT EC inventory.</p> <p>If you use a reference substance to report unknown constituents/impurities, they must be “identified” by inserting “Unknown constituent/impurity” in the IUPAC name field.</p>                                                                                                                         |                               |
| <b>IUCLID section 1.1 – Identification</b>                            | In IUCLID section 1.1 you must select a 'Type of substance'. If you select 'other:', the adjacent text field must be filled in.                                                                                                                                                                                                                                                                                                                            | Application for Authorisation |
| <b>IUCLID section 1.2 – Composition</b>                               | <p>At least one composition must be defined in section 1.2. The following requirements are also to be fulfilled:</p> <p>All created compositions must contain at least one constituent.</p> <p>All constituents must be linked to a reference substance.</p>                                                                                                                                                                                               | All dossier types             |
| <b>IUCLID section 1.2 – Composition</b>                               | <p>All compositions created in section 1.2 must have the composition type indicated. At least one of the compositions in section 1.2 must reflect the composition of the substance supplied for the uses applied for. This composition must be marked as the “Legal entity composition of the substance”.</p> <p>If the composition type “other” is selected from the list, the relevant information must be provided in the adjacent free text field.</p> | Application for Authorisation |
| <b>IUCLID section 1.1 – Identification; section 1.2 – Composition</b> | If the substance is defined as mono-constituent, the first ‘legal entity composition of the substance’ in section 1.2 has to have a matching substance identity when compared with the reference substance in section 1.1.                                                                                                                                                                                                                                 | All dossier types             |
| <b>IUCLID section 1.1 - Identification; section 1.2 – Composition</b> | If the substance is defined as a multi-constituent substance, the reference substance in section 1.1 cannot be identical to any of the constituents defined in the first composition of type ‘legal entity composition of the substance’ in section 1.2.                                                                                                                                                                                                   | All dossier types             |
| <b>IUCLID section 1.2 – Composition</b>                               | All constituents of a multi-constituent or of a UVCB substance must identify distinct reference substances.                                                                                                                                                                                                                                                                                                                                                | All dossier types             |
| <b>IUCLID section 1.2 – Composition</b>                               | You must provide the full 'Concentration range' (lower and upper value together with a unit) for each constituent of a 'legal entity composition of the substance' in IUCLID section 1.2. If you are reporting a constituent at exactly 0% or 100%, provide this value, together with the unit, in the field 'Typical concentration' and leave the 'Concentration range' fields empty.                                                                     | Application for Authorisation |
| <b>IUCLID section 1.3 – Identifiers</b>                               | If you wish to submit a review report of an application for authorisation then ensure that you indicate the correct authorisation number in section 1.3 of the dossier. The authorisation number must correspond to the same substance and same uses or part of the uses (or uses of more limited scope than the ones in the first application).                                                                                                           | Application for Authorisation |
| <b>IUCLID</b>                                                         | Indicate a REACH Annex XIV entry number in section 1.3 of                                                                                                                                                                                                                                                                                                                                                                                                  | Application for               |



|                                                                    |                                                                                                                                                                                                                                                                                                                                                                                |                               |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
| <b>section 1.3 - Identifiers</b>                                   | your IUCLID dossier. This must be consistent with the substance identity described in sections 1.1 and 1.2.                                                                                                                                                                                                                                                                    | Authorisation                 |
| <b>IUCLID section 1.3 – Identifiers; dossier header</b>            | If you are submitting an application for authorisation of the type 'Subsequent application' then your dossier is expected to refer to a previous application for authorisation, either by indicating a valid submission number in the dossier header's field 'Last submission number' or a valid authorisation number in section 1.3 under 'Regulatory programme identifiers'. | Application for Authorisation |
| <b>IUCLID section 1.3 - Identifiers</b>                            | If you wish to provide REACH registration number related to your application in IUCLID section 1.3, the number has to be a valid registration number.                                                                                                                                                                                                                          | Application for Authorisation |
| <b>IUCLID section 3.5 – Use and exposure information</b>           | In IUCLID section 3.5 there must be a use (record) corresponding to each 'Use concerned by the request' in IUCLID section 3.10. Each of these uses in IUCLID section 3.5 must indicate a clear reference to an exposure scenario (number, title, or pages in CSR) under the “Remarks” field.                                                                                   | Application for Authorisation |
| <b>IUCLID section 3.10 - Application for authorisation of uses</b> | At least one record must be included in IUCLID section 3.10. Each record must contain a use description in the field 'Use concerned by the request' and must be linked to a use (record) in IUCLID section 3.5.                                                                                                                                                                | Application for Authorisation |
| <b>IUCLID section 3.10 - Application for authorisation of uses</b> | Indicate information on the scale of the use applied for: specify if it covers applicant’s own sites and/or downstream users’ sites You should also indicate (or estimate) the total number of sites covered. This must be consistent with the information provided in the assessment reports attached in IUCLID section 3.10 and 13.                                          | Application for Authorisation |
| <b>IUCLID section 3.10 - Application for authorisation of uses</b> | Attach document(s) in IUCLID section 3.10 under the 'Analysis of the alternatives' header covering each use applied for. If necessary, provide any additional comment in the “Remarks” field.                                                                                                                                                                                  | Application for Authorisation |
| <b>IUCLID dossier template</b>                                     | The dossier template used in IUCLID must correspond with the intended submission type in REACH-IT.                                                                                                                                                                                                                                                                             | All dossier types             |
| <b>IUCLID section 3.10 - Application for authorisation of uses</b> | If you are submitting an application for authorisation of the type 'Subsequent application' then your dossier is expected to include an attachment (permission to refer) in section 3.10 under 'Reference to other applications or previous authorisations'.                                                                                                                   | Application for Authorisation |
| <b>IUCLID dossier header</b>                                       | If you have been requested to submit an update dossier then the reason for updating must be "Further to a request/decision from regulatory body". Tick the appropriate tickbox in the dossier header when creating your dossier and provide the relevant information in the adjacent fields.                                                                                   | Application for Authorisation |
| <b>IUCLID dossier header</b>                                       | If you have been requested to send an update, the last submission number and the communication number in the dossier header have to be correct.                                                                                                                                                                                                                                | All dossier types             |
| <b>REACH-IT</b>                                                    | Parallel submissions are not allowed for the same annotation number. You cannot submit a dossier quoting the same annotation number while another dossier is still being processed.                                                                                                                                                                                            | Application for Authorisation |

|          |                                                                                                                                                                                                   |                               |
|----------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------|
|          |                                                                                                                                                                                                   |                               |
| REACH-IT | Parallel submissions are not allowed for the same applicant, substance, and use. You cannot submit a dossier while another dossier for the same applicant, substance, and use is being processed. | Application for Authorisation |
| REACH-IT | No submissions can be made from the account of a legal entity, which at the time of submission undergoes the legal entity change (merge) process.                                                 | Application for Authorisation |
| REACH-IT | The same IUCLID dossier cannot be submitted more than once.                                                                                                                                       | Application for Authorisation |

Before you complete your IUCLID dossier, make also sure that you have provided the following information.

**Identification of the uses:**

**Table 2 Checklist: minimum information needed to identify “uses applied for”**

| √ / X | Minimum Information                                                                                                                                                                 |
|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|       | Consistent numbering of the uses (to be used in a consistent way in all parts of the IUCLID dossier, assessment reports).                                                           |
|       | Clear and consistent name for each use.                                                                                                                                             |
|       | Clear and consistent description of each use (based on the use descriptor system).                                                                                                  |
|       | Information about the technical function of the substance.                                                                                                                          |
|       | For each use, a reference to (a) relevant exposure scenario(s).                                                                                                                     |
|       | For each “use applied for” a non-confidential broad description (“brief wording”) that can be published on ECHA website for consultation on alternative substances or technologies. |
|       | The scale of the use (whether it covers applicant’s own sites and/or downstream users’ sites) and number of sites covered for each “use applied for”.                               |

**Assessment reports:****Table 3 Checklist: minimum assessment reports needed**

| √ / X | Minimum Information                                                                                                                                                                                                                                                                                                       |
|-------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|       | Chemical Safety Report if not provided yet as a part of a REACH registration.                                                                                                                                                                                                                                             |
|       | REACH Registration number in case a Chemical Safety Report was already submitted as part of a registration.                                                                                                                                                                                                               |
|       | For each use for which you apply for an authorisation:<br>→ an analysis of the alternatives;<br>→ a substitution plan (where relevant);<br>→ a socio-economic analysis (where relevant - recommended to include also for adequate control route applications).<br>→ a succinct summary table of representative RMM and OC |
|       | For review reports, additionally an Explanatory Note                                                                                                                                                                                                                                                                      |

It is recommended that the assessment reports are .PDF documents.

**Legal entities and mapping:****Table 4 Checklist: Legal entities and mapping**

| √ / X | Minimum Information                                                                                                                                                                                                                                             |
|-------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|       | REACH-IT legal entity name of all applicants.<br>In case of an Only Representative, the REACH-IT legal entity name should include also the name of the company represented. For example: "Company X in its legal capacity as Only Representative of Company Y". |
|       | Role in the supply chain for each applicant (for joint applications indicated in REACH-IT).                                                                                                                                                                     |
|       | A mapping of uses per applicant and per substance (for joint applications indicate this information in REACH-IT).                                                                                                                                               |
|       | In case of an Only Representative, name and address of the company represented.                                                                                                                                                                                 |

**Contact information:**

**Table 5 Checklist: contact information**

| √ / X | Minimum Information                                                     |
|-------|-------------------------------------------------------------------------|
|       | First and last name of the contact person (to be provided in REACH-IT). |
|       | Phone number of the contact person (to be provided in REACH-IT).        |
|       | Email address of the contact person (to be provided in REACH-IT).       |
|       | Complete address of the contact person (to be provided in REACH-IT).    |

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