

## Substance Evaluation

### 1. Purpose

The purpose of this procedure is to describe the Substance Evaluation process including decision making, as stated in the REACH Regulation (Title VI, Chapters 2 and 4).

This procedure is designed to ensure that

- Substance evaluation has a reliable and consistent basis.
- Requests for further information that may result from substance evaluation are consistent, scientifically robust and legally accurate.
- Legislative deadlines and registrant's rights are respected.
- Internal requirements for efficient substance evaluations are met and the responsibilities of the Member State Competent Authorities (MSCAs) and ECHA in the process are clearly defined.

### 2. Scope

This procedure starts after the (updated) Community Rolling Action Plan (CoRAP) has been adopted and published and finish with the notification and publication of the conclusions of substances evaluation by the evaluating MSCAs.

#### Linkage to ECHA Process System

<b>L1. Activity:</b>	02 Evaluation 08 Committees and Forum
<b>L2. Process:</b>	02.02 Substance Evaluation 08.09 MSC – Management of the opinion forming/agreement seeking
<b>L3. Sub-process:</b>	02.02.02 Coordination of Substance Evaluation by MSCAs 02.02.03 Processing of draft decisions 02.02.05 Follow-up to Substance Evaluation 08.09.02 Agreement seeking for Substance Evaluation

### 3. Description

Substance Evaluation (SEv) is a concern driven process, which aims to clarify whether a substance constitutes a risk to human health or the environment. According to Article 45(1)<sup>1</sup> of the REACH Regulation, ECHA is responsible for coordinating the substance evaluation process and ensuring that substances on the Community Rolling Action Plan (CoRAP) are evaluated. In doing so, ECHA shall rely on the Competent Authorities of the Member States.

The outcome of substance evaluation may be:

- Decision requesting further information from the Registrant(s), in order to clarify the concern. This request can address intrinsic properties or exposure and can go beyond the standard information requirements listed in Annexes VII – X of the REACH Regulation.
- Notification of the evaluating Member State Competent Authority (MSCA) to ECHA that no further information needs to be requested for an evaluated substance. This notification should include a report on the analysis performed and the conclusions taken.

Finally, once the substance evaluation has been completed, according to Article 48 the evaluating MSCA decides and notifies ECHA on how it intends to utilise the information obtained in substance evaluation and which risk management route it anticipates will be chosen, where relevant. The possible risk management routes include: authorisation, restriction, harmonised classification, other Community wide actions (e.g. regarding Water Framework Directive 2000/60/EC, worker protection legislation) or even appropriate national actions. ECHA will share this information with the Commission, the Registrant(s) and the Competent Authorities of the other Member States.

The substance evaluation process following the establishment and updates of the CoRAP<sup>2</sup> can be divided in three stages:

#### 1. Coordination of Substance Evaluation

The evaluating MSCA shall submit to ECHA a SEv IUCLID dossier that contains a draft decision (if necessary), a (interim) substance evaluation report and a time recording sheet.

To ensure that the substance evaluation is based on sound and consistent judgement, and that requests for further information are consistent, scientifically robust and legally accurate ECHA is supporting the evaluating MSCA during the 12-month evaluation period through an early interaction with an ECHA Substance Manager. If agreed between the ECHA Substance Manager and the evaluating MSCA, a preliminary SEv draft decision can be submitted for a consistency screening to ECHA, no later than two months before the end of the 12-month evaluation period.

#### 2. Processing of substance evaluation draft decisions

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<sup>1</sup> In the following, all references Recitals, Articles of Annexes refer to those of Regulation (EC) No 1907/2006 (REACH Regulation) if not stated differently.

<sup>2</sup> Described in the "Establishment and update of the Community Rolling Action Plan (CoRAP)" procedure

**Substance Evaluation**

ECHA is responsible for notifying any draft decision issued by the evaluating MSCA to the relevant Registrant(s). The final decision shall be taken following involvement of the Registrant(s), consultation of the other MSCAs and ECHA, and possibly the Member State Committee (MSC) and the Commission following the procedure described by Articles 50 and 52.

### 3. Evaluation of obtained information

At this stage an updated dossier, referring to the substance evaluation decision with a set deadline, is expected from the Registrant(s). The updated dossier will be evaluated by the responsible MSCA that shall inform ECHA of its conclusions concerning the suitability and application of the information obtained. Subsequently, ECHA shall inform the Commission, the Registrant(s) and other MSCAs of the conclusions in a timely manner.

## 3.1. Coordination of substance evaluation

### Step 1 – Preparation and submission to evaluating MSCAs of aggregated IUCLID files for each substance to be evaluated

Following the establishment and respective updates of the CoRAP, ECHA will generate and submit via REACH-IT to the evaluating MSCAs an aggregated IUCLID file for each substance to be evaluated containing all information available in the latest version of registration dossiers for that substance. This will take place once at the beginning of the process.

Upon request, ECHA may provide information on other substances relevant for the evaluation process to the evaluating MSCA.

### Step 2 – Receipt of substance evaluation IUCLID dossiers submitted by the evaluating MSCAs

*[According to Article 45 the evaluating MSCAs have 12 months from the publication of the (updated) CoRAP to either*

- a) prepare a draft decision requesting further information or*
- b) conclude that no further information to clarify the suspected initial concern is needed and notify ECHA accordingly].*

ECHA receives the results of the evaluation via web-form, in the form of a SEv IUCLID dossier that contains

- the technical dossier
- a (interim) substance evaluation report
- if appropriate, a draft decision
- if appropriate, a conclusion document (combined with evaluation report) and
- a time recording sheet (certified by a signature of an authorized person in the Member State).

*[The submission date, will be the reference date used for the 12-month deadline starting from the CoRAP publication].*

### Step 3 - Early interaction between ECHA Substance Manager and evaluating MSCA

**Substance Evaluation**

The aim of this early interaction between the ECHA Substance Manager and the evaluating MSCA is to:

- provide early support to evaluating MSCAs in considering the best approaches to clarify the concern and any risk management measures;
- follow the progress of the evaluating MSCAs evaluation, identifying and resolving potential problems at an early stage;
- provide advice and support related to consistency and to ensure scientifically and legally sound decisions.

If agreed between ECHA Substance Manager and the evaluating MSCA, a preliminary SEv draft decision can also be submitted for a consistency screening to ECHA, no later than two months before the end of the 12-month evaluation period.

In this occasion, the Substance Manager, after coordination with Legal Advisors and the SEv team, may suggest changes to the draft decision being prepared by the evaluating MSCA. The SEv Team invites the MSCA to consider the suggestions made by ECHA, to modify the draft decision if appropriate and submit, via a SEv IUCLID dossier, the revised draft decision for further processing still within the 12-month evaluation period.

*[When the conclusion of a substance evaluation is that no further information to clarify the concern is necessary, i.e. the evaluating MSCA is not preparing a draft decision on substance evaluation, the procedure continues with step 4.]*

*[When the outcome of a substance evaluation is that an information request to clarify the suspected concern is deemed necessary, i.e. the evaluating MSCA is preparing a draft decision on substance evaluation, the procedure continues with step 5].*

#### Step 4 – Information to the Registrant(s), MSCAs and Commission that the evaluation is completed

*[A conclusion document to inform the Registrant(s), MSCAs and Commission that the evaluation is completed and no further information to clarify the concern is needed shall be prepared by the evaluating MSCA and submitted to ECHA].*

The combined or separate SEv report and the conclusion document prepared by the evaluating MSCA will be published on the ECHA website. ECHA, without undue delay, will inform the Commission, the Registrant(s) and the Competent Authorities of the other Member States that these documents have been published on the ECHA website.

In this case the procedure is finished.

#### Step 5 – Sign the notification letter to be sent with the draft decision to the Registrant(s)

When the outcome of a substance evaluation is a conclusion that further information from the Registrant(s) is needed in order to clarify the concern, a draft decision shall be prepared by the evaluating MSCA within the 12-month evaluation period. At this point of time ECHA is not modifying the content of the draft decision.

SEv Team Leader authorises the notification letter accompanying the draft decision issued by the evaluating MSCA. In this case the procedure continues to step 6.

### **3.2. Processing of substance evaluation draft decision**

### Step 6 – Notification of the draft decision to the Registrant(s)

ECHA notifies via REACH-IT without undue delay<sup>3</sup> the draft decision to the Registrant(s) of the substance. The Registrant(s) is/are informed in the notification letter of their right to comment on the draft decision within 30 calendar days of receipt of the draft decision.

### Step 7 – Information to the evaluating MSCA of the Registrant(s) comments

ECHA informs, via REACH-IT, the evaluating MSCA of any comments submitted by the Registrant(s) without undue delay.

*[The evaluating MSCA shall take the comments of the Registrant(s) into account and record a response to each comment. The evaluating MSCA shall decide whether the draft decision needs to be amended on the basis of the comments/additional information provided by the Registrant(s) (Article 50(1)). Comments should be reflected in an appropriate manner in the draft decision and its supporting documentation.]*

*If no comments are received from the Registrant(s) within the 30-day commenting period, the draft decision is not amended by the evaluating MSCA.]*

### Step 8 – Receipt of the (amended) draft decision.

ECHA and other MSCAs receive notification of the (amended) draft decision from the evaluating MSCA via CIRCABC (Article 52(1)). The draft decision and additional documents including the original comments from the Registrant(s) and the responses provided by the evaluating MSCA to these comments shall also be available via CIRCABC.

Subsequently, ECHA (and the other MSCAs) may submit proposals for amendment to the draft decision within 30 calendar days starting from the date they were notified of the (amended) draft decision (Article 51(2)). ECHA proposals for amendment are prepared by the Substance Manager, authorised by the Director of Evaluation and submitted to the evaluating MSCA via CIRCABC.

*[If the evaluating MSCA receives proposals for amendment, the procedure continues in step 9. In such cases, a response to each proposal for amendment shall be provided by the evaluating MSCA. The evaluating MSCA may modify the draft decision and provide the (amended) draft decision to ECHA (Article 51(4)) within 13 days from the deadline for ECHA/other MSCAs to make proposals for amendment.]*

*If the evaluating MSCA does not receive proposals for amendment, the procedure continues in step 12b].*

### Step 9 - Referral to the Member State Committee

MSC Secretariat (MSC-S) notifies the MSC that the draft decision received proposals for amendment.

MSC-S refers the (amended) draft decision, together with any comments and proposed amendments, to MSC within 15 calendar days of the end of the 30-day commenting period in step 8. Within 60 days of referral, MSC shall seek agreement on the draft decision (Article 51(6)).

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<sup>3</sup> The registrant(s) may thus receive the draft decision after the end of the 12-month evaluation period.

## Substance Evaluation

Step 10 – Communication of proposals for amendments (if any) to the Registrant(s)

ECHA communicates to the Registrant(s) after the end of the 30-day commenting period in step 8 the draft decision as notified to the other MSCAs and ECHA, the received proposals for amendment and a cover letter authorised by the SEV Process Coordinator.

The cover letter notifies the Registrant(s) of their right to comment on the proposals for amendment within a 30-day of receipt (Article 51(5)).

Step 11 – Forwarding of the Registrant(s) comments on the proposals for amendment to the evaluating MSCA

ECHA informs the evaluating MSCA and the MSC of the Registrant's comments, if any, on the proposals for amendment.

*[According to Article 51(5), the Member State Committee shall take any comments received into account and record each relevant comment in the supporting documentation].*

In case of no unanimous agreement by the MSC, the procedure continues with step 12a. While in case of unanimous agreement reached by the MSC, the procedure continues with step 12b.

Step 12a - Referral to the Commission

When MSC fails to reach unanimous agreement, MSC-S refers the case to the Commission. Such a letter with accompanying documents is signed by the Deputy Executive Director. ECHA also informs the Registrant(s) that the case has been referred to the Commission.

Step 12b – Adoption of the decision

If no proposals for amendment to the draft decision are submitted by ECHA/other MSCAs or if MSC reached unanimous agreement, the (amended) draft decision is adopted by ECHA and it becomes the decision with legal deadline(s) (Articles 51(3) and 51(6) respectively).

Step 13 – Notification of the decision to the Registrant(s)

The decision authorised by the Director of Evaluation is notified to the Registrant(s). ECHA informs also the other MSCAs of the decision. The decision will request further information to be provided by the Registrant(s) in the form of an updated dossier by a specified deadline(s).

ECHA publishes on the ECHA website the decisions without confidential business information.

Step 13a – Decision on who shall perform studies

*[When Registrant(s) are required to perform a test as a result of a decision, according to Article 53 those Registrant(s) shall make every effort to reach an agreement as to who is to carry it out on behalf of the other registrants and to inform the Agency accordingly within 90 days].*

If ECHA is not informed of an agreement of the registrants within 90 days of taking the decision, it shall designate one of the registrants to perform the test(s) on behalf of all of them and issue a decision on this matter. This decision shall be authorised by the Director of Evaluation.

### 3.3. Evaluation of obtained information

The Registrant(s) shall, within the timeline(s) specified in the decision, submit the requested information to ECHA by updating the registration dossier(s) with that new data.

*[If no Registrant(s) update addressing the requested information is received within the timeline(s) specified in the decision, the procedure continues at step 17.]*

*[If a Registrant(s) update addressing the requested information is received within the timeline(s) specified in the decision, the procedure continues at step 14].*

#### Step 14 – Communication of Registrant(s) update addressing the requested information to the evaluating MSCA

ECHA informs monthly via CIRCABC the evaluating MSCAs of the Registrant(s) updated dossier(s).

*[The evaluating MSCA shall examine the new information within 12 months of all the requested information being submitted (Article 46(3)).]*

#### Step 15 – Receipt of updated SEv IUCLID dossier submitted by the evaluating MSCA

ECHA receives via web-form, after the evaluating MSCA has carried out the evaluation of new obtained information, an updated SEv IUCLID dossier including a revised substance evaluation report and, if applicable, a new draft decision. Without undue delay, ECHA takes note of the conclusions from this new evaluation.

*[If the evaluating MSCA considers that the information submitted meets the requests in the decision and no further information is needed to clarify the concern, the process can be finalised by continuing to step 16.]*

*[If the evaluating MSCA considers that in case no or only part of the requested information is provided in the Registrant(s) update, ECHA informs the enforcement contact points. In such case, the procedure continues with step 17.]*

*[If the evaluating MSCA considers that further information is still needed to clarify the concern, due to a change of circumstances or new acquired knowledge, the SEv IUCLID dossier shall include a new draft decision and the process is repeated from step 1 under the same service contract as signed before between ECHA and the evaluating MSCA].*

#### Step 16 – Notification of conclusions to the Registrant(s)/other MSCAs/Commission

*[If the evaluating MSCA concludes that the information is sufficient to clarify the concern, it shall notify ECHA accordingly, and provide an (updated) SEv IUCLID dossier with a final substance evaluation report and a conclusion document. Once the substance evaluation has been completed, the evaluating MSCA shall in accordance with Article 48 consider how to*

**Substance Evaluation**

*use the information obtained (e.g. for the purpose of authorisation, restriction, harmonised classification and labelling) and inform ECHA of its conclusions].*

ECHA will publish the merged or separate SEv report and conclusion document on the ECHA website and will share this information with the Commission, the Registrant(s) and the Competent Authorities of the other Member States.

Step 17 – Informing that no update or insufficient update addressing the requested information was received after the deadline

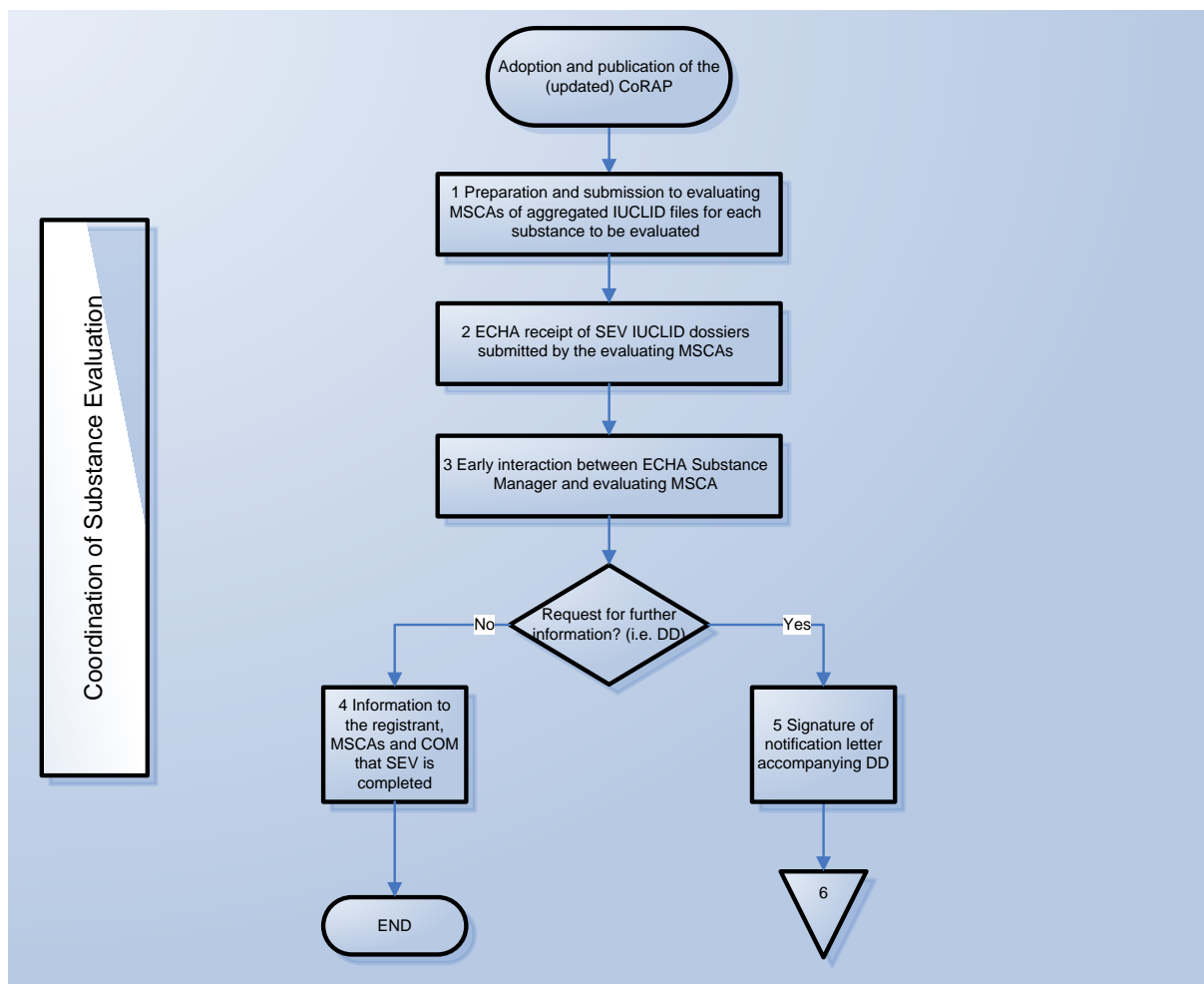
When no update or insufficient update from the Registrant(s) is received within the timeline(s) specified in the decision, ECHA informs the focal points of enforcement in the Member State(s) (MS(s)) where the Registrant(s) is/are located (the Lead Registrant and the evaluating MSCA in copy) that the Registrant(s) is/are in breach of their obligations following from the SEv decision. The relevant National Enforcement Authorities shall consider appropriate follow-up enforcement actions towards the Registrant(s). A letter of failure to comply with SEv Decision is authorised by the Director of Evaluation.

### **3.4. Supportive documentation**

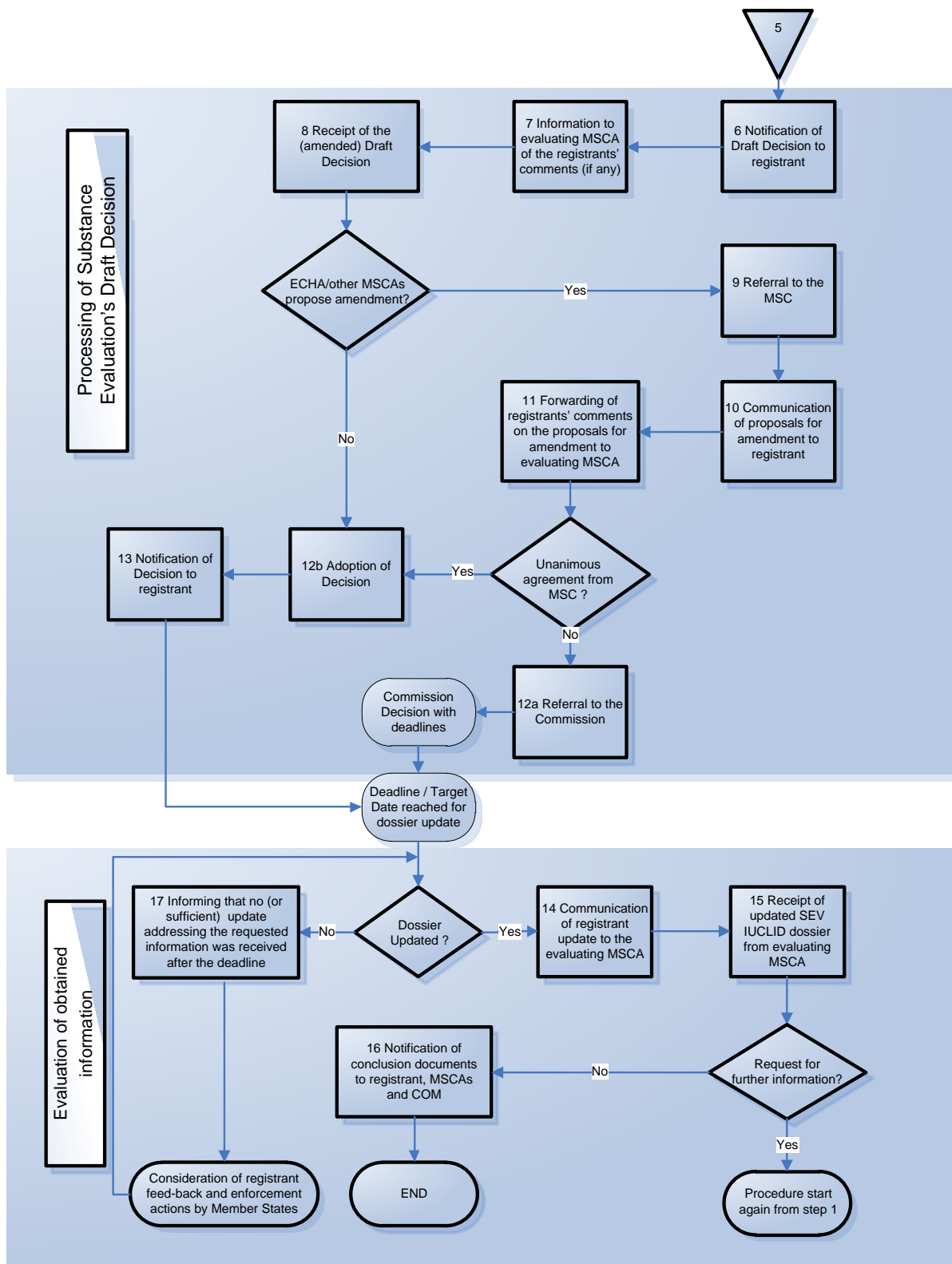
The process described in this procedure is described in more detail in related working instructions. In addition, supporting documentation describes practical elements required when executing tasks. These supporting documents include instructions and standard texts for documents. This documentation is controlled in analogy to the provisions given in PRO-0001. The respective document owner is responsible for keeping the document up-to-date.



## 4. Flowchart



Substance Evaluation



## 5. Definitions

Term or abbreviation	Definition
CoRAP	Community Rolling Action Plan
SEv Team	Substance Evaluation Team: Team from Directorate E composed of: <ul style="list-style-type: none"> <li>• Head of Unit (HoU)</li> <li>• Team Leader(s) (TLs)</li> <li>• Process Coordinator(s) (PCs)</li> <li>• Substance Managers (SMs).</li> <li>• Evaluation Assistants (EAs).</li> </ul>
MS	Member State
MSCA	Member State Competent Authority
SEv	Substance Evaluation
MSC	Member State Committee
MSC-S	Member State Committee Secretariat
eMSCA	Evaluating Member State Competent Authority
DD	Draft Decision
FORUM	Forum for Exchange of Information on Enforcement

## 6. References

Associated document code	Document name
Regulation (EC) No 1907/2006	REACH Regulation
Directive 67/548/EEC	Dangerous Substances Directive
Regulation (EC) No 1272/2008	CLP Regulation
Regulation (EC) No 440/2008	EU Test Methods Regulation
	Service contracts with Terms of references for substance evaluation (transfer of funds)
	Guidance on information requirements and chemical safety assessment
	OECD test guidelines

## Substance Evaluation

IQMS document code	Document name
PRO-0001	Control of IQMS Documents
PRO-0022	Substance Evaluation -Establishing updates of the Community Rolling Action Plan (CoRAP)
WIN-0059	Decision making in Substance Evaluation
WIN-0011	Processing initial requests for access to documents
WIN-0033	Confirmatory Application for Access to Documents Decision

## 7. Records

Record name	Security level	Comments
Community Rolling Action Plan (CoRAP) which lists substances to be evaluated over a three-year period	Public	
Justification Documents for the selection of candidate CoRAP substances	Internal (Conf.) & Public	
Substance evaluation IUCLID dossiers submitted by the MSCAs [including substance evaluation report, draft decision (if relevant), and time recording sheet]	Internal (Conf.)	
Draft Decision sent to the Registrant(s)	Internal (Conf.)	eMSCA prepares the DD and ECHA sends it to the Registrant(s) via REACH-IT and shares with other MSCAs via CIRCABC
Final Decision sent to the Registrant(s) and published version of it	Internal (Conf.) & Public	
ECHA/MSCAs proposals for amendment	Internal (Conf.)	
Published Substance Evaluation Report (prepared by the MSCAs)	Internal (Conf.)	

## Substance Evaluation

Record name	Security level	Comments
	& Public	
SEV Conclusion document prepared by the MSCAs (could be combined with SEv Report)	Public	
Letter of failure to comply with SEV FD	Internal (Conf.)	

## 8. Annexes

N/A

## 9. Change history

Revision	Changed section	Change description	Date
1	-	Initial document	12/06/2012
2	-	Contents transferred to new template	18/02/2014
	Section 3 (Steps 2, 4, 5, 7, 10, 12a, 12b, 13, 14, 15, 16, 17)	Editorial changes and changes in the role for the signature of outgoing documents.	07/05/2014
	Section 4	Editorial changes in the flow chart to reflect the changes in the steps indicated above	07/05/2014
	Section 5	Editorial changes	07/05/2014
	Section 7	Editorial changes	07/05/2014
	All sections	Revision of wording and update on changes in procedure. Addition of new section on the document control system of supporting documents. Word Forum clarified.	03/10/2014
			Contents transferred to new template
3	Section 2 (Scope)	Interlinks to the Committee opinion making reflected with the relevant Activity 8 process codes.	07/11/2014 [to be implemented with 2015 update]
3	Sections 2, 3	Editorial changes. New delegation is reflected. Possibility of merged conclusion and evaluation report reflected.	04/09/2015
4	Sections 3. Description and 3.1. Coordination of Substance Evaluation	New early interaction between ECHA Substance Manger and evaluating MSCA is described.	21/10/2016
4	All Sections	Editorial changes.	21/10/2016