TRACES NT

Establishment Amendments' lists user guide for third countries' authorities

October 2021

This manual contains all essential information as regards the creation and management of **Establishment Amendments' lists** in TRACES NT.

Health and Food Safety

Contents

Background information

Listing of third countries' approved establishments – New procedure

In view of streamlining the procedures required for the listing of establishments which are authorised to export to the European Union, DG SANTE has decided to build a new interactive module in the TRACES-NT (TRACES-New Technologies) platform.

This platform enables the issuance by third countries of official certificates for imports into the EU of consignments of animal products, animals, certain food and feed of non-animal origin and plants and by the Member States of the European Union of entry documents recording the outcome of official controls and the decision taken on those consignments.

The new module called "**Establishment Amendments Lists**", which will be definitively replacing the email procedure, allows contact persons designated by your competent authority, once registered in TRACES-NT, to directly manage their requests for amendments of the aforementioned lists by themselves. It allows the relevant DG SANTE officers to be notified of such requests through the platform, to examine and submit them for publication. In case of incomplete or incorrect requests, a mechanism is in place to return those requests with a message informing users of actions that need to be taken.

The new listing procedure will apply as of **1 December 2021**. This means that as of that date your designated staff will have to register in TRACES NT and request a role under the corresponding authority profile in charge of the management of lists of establishments' amendments in TRACES-NT.

The registration of every contact person is to be done through the European Commission's user authentication service ("EU login"- *https://webgate.ec.europa.eu/cas*), which allows registered users to access TRACES-NT using a single email address and password.

Those credentials are necessary to access TRACES-NT via *https://webgate.ec.europa.eu/tracesnt/login* and to ask for a role, within TRACES-NT, as "**National Contact Point -NCP**". Once your designated users connect, please inform the TRACES support team, at sante-traces@ec.europa.eu, which will validate the request of the first user, and give them rights to manage the access requests of other authority users who wish to be linked to the same entity.

The present manual aims to guide you through the necessary steps for your effective preparation before the date of application of the new listing procedure (i.e. registration in TRACES-NT, requesting a role under your authority profile), as well as to explain the in-system workflow for the effective creation and management of **Establishment Amendments' lists** in TRACES-NT.

Part I – establishing an EU Login account

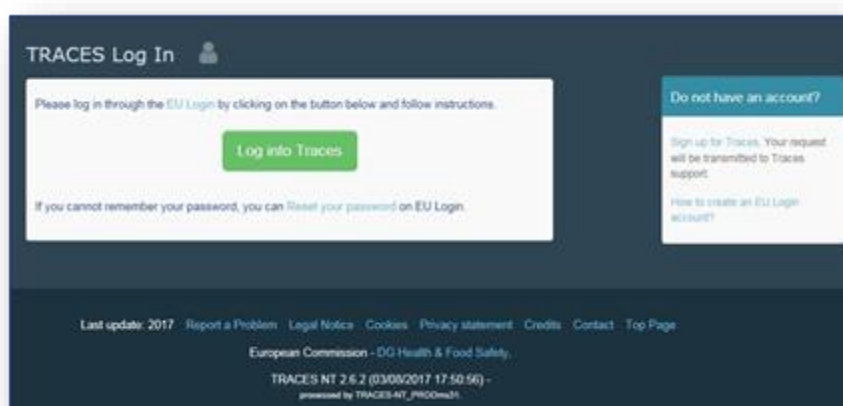## Register in the EU login

First you need to register yourself on the EU Login page

This is a mandatory security layer. [Please note: in case you already have an ECAS access, it is not necessary to redo the procedure, you can go directly to step 2)]

Click on the relevant link:

- *Production:* https://webgate.ec.europa.eu/tracesnt/login

You access the TRACES NT welcome page:

Please click on the link **"Sign up for TRACES**

You now access the EU Login registration screen.

On the top right you can choose your language:
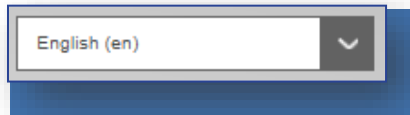
Complete all form fields.

Please keep in mind that the data you choose in the screen above will be the data that appears when you sumbit a new list. It is therefore strongly suggested that you create your EU Login account as a natural person and not as a legal person (e.g. authority entity).

For the E-mail Address: You are strongly advised to choose your individual professional email address which must be used to login to TNT.

After completing all the fields, click on the "Create an account" button.

Once you have sent the request, an email will automatically be sent to you with a link to set your password. You have 90 minutes to click on the link (it will expire when the 90 minutes have passed).

If you do not receive this automatic email, you can find help on this page:
https://webgate.ec.europa.eu/cas/contact.html
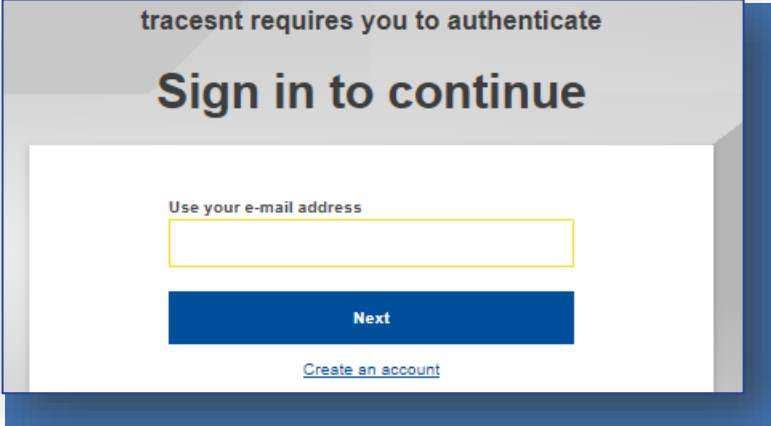
Register in TRACES NT

Second step, register in TRACES NT

Return to the homepage of TRACES NT (see links above)

Then click on the green button "Login into TRACES", you will be redirected to the EU Login access.
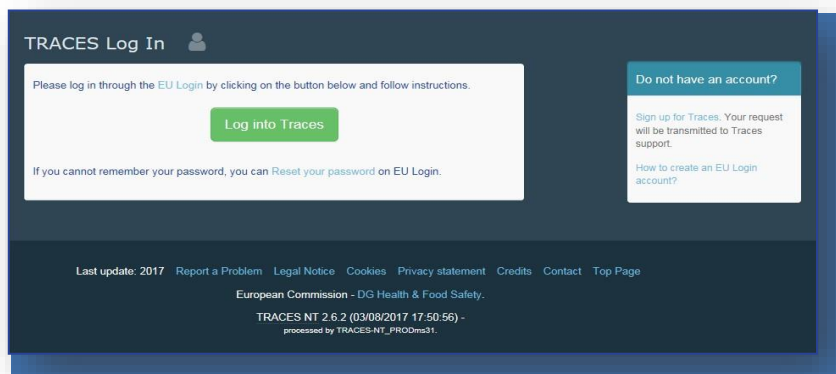
To log in you use the email address you selected when creating the EU Login Account:

tracesnt requires you to authenticate

Sign in to continue

Use your e-mail address

Next

Create an account

You are now redirected to the TRACES NT welcome page. You will find links to EU Login where you can change your EU Login credentials if need be or reset your password.

Part II – Request of a new role

Request of a new role

To begin with, you have to log in firstly to the EU login that you have already created.

As soon as your profile is new, you will not have any role affiliated to your profile. The first step is to request a new role as "**Authority".** The authority users in charge of the management of the **Establishments amendments' lists** are the "List management system (LMS) National contact point (NCP)" users (*LMS NCP*) who are to be linked to the profile of their respective authority. To be linked to this authority profile you would need to follow the steps below:

On the homepage, click on **"Authority"**

You click in the box **"Authority"** then you will be able to search for the Competent LMS NCP Authority of your country. The information that you can type so you can facilitate the search is

- o **Country**

- o **Role**

- o **Competence**

- o **Authority name**.

By clicking the blue box **"Search",** you will be able to see all the results related to these options.

Once you found the Competent LMS NCP Authority of your choice, then you click **"Select"**

> For the option **Country**, you have to select your country
>
> For the option **Role**, you have to select the option **"National Contact Point – NCP"**
>
> For the option **Competence**, you have to select the appropriate option that is related to your profile activities.
>
> For the option **Authority Name**, you can type the Authority Name that you are affiliated to.

After you have completed this initial step for requesting a new role, the relevant Authority will receive a notification.

The Competent Authority now can proceed by accepting or declining your request.

> **Please note** that the first user that will be connected to the LMS NCP role, will have to be validated by the TRACES Team.
>
> As soon as this admin user is validated and connected, this user will be in charge of managing the incoming requests from the colleagues.

As soon as the Competent Authority accepted the request, then you will be validated and you can see that on the top right of the screen.

> You will need to complete an entire cycle of login and logout in order you to be able to see the changes in your profile.

Part III – Validation of a new role

The first admin user who will be affiliated to the LMS NCP role will be in charge of managing the incoming requests from the colleagues. The admin user can accept the request for the new role by clicking the green option.
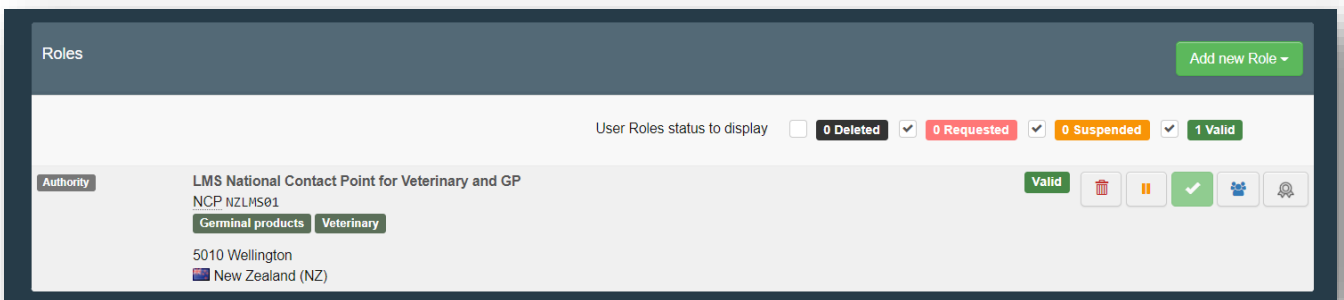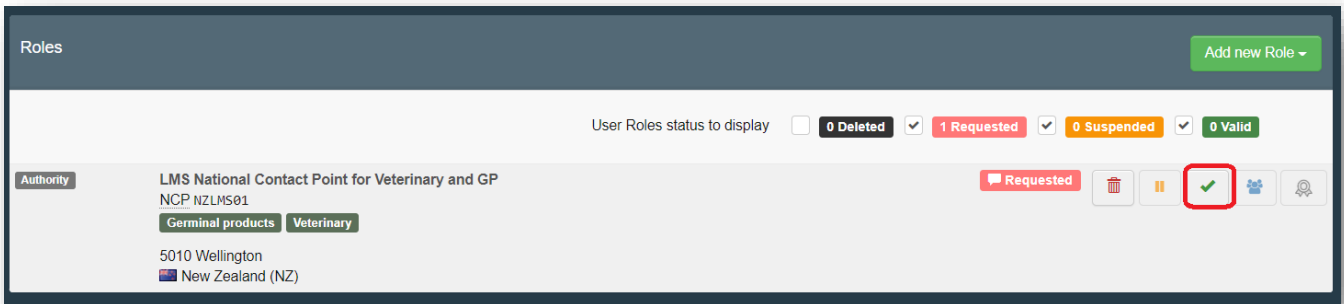
Part IV – LMS listing

## Consultation of the lists of approved establishments (LMS lists)

This applies in the case you need to consult and have access to the already existing LMS lists.

On the homepage, click on top menu **"Publications"** and click "Establishment Listings"
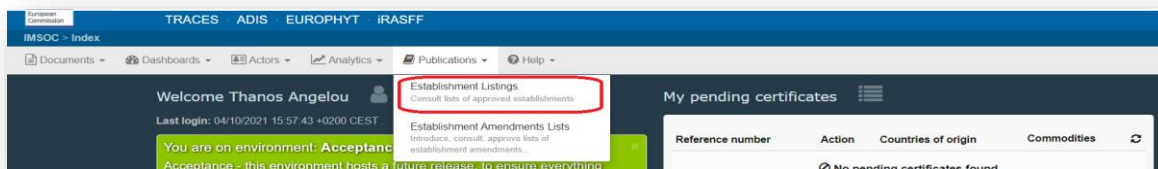
By clicking on this option, you will be directed to a new page where you will be able to search and consult all the published Establishment Listings from both EU Member States and third countries.

You can use the search tools **"Countries", "Section", "Valid on",** and **"Sequence number".**
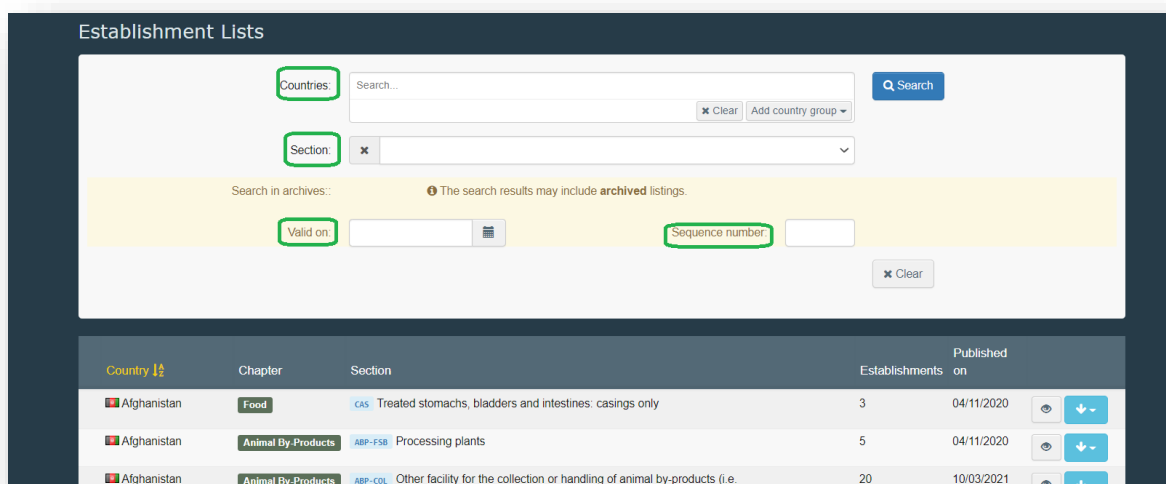
In sake of the following paradigm, we searched for the Establishment Listing in New Zealand for the Section of "Embryo collection teams"

By clicking the option in the **bottom right of the page**, you will be able to see and download the relevant list as a PDF file.
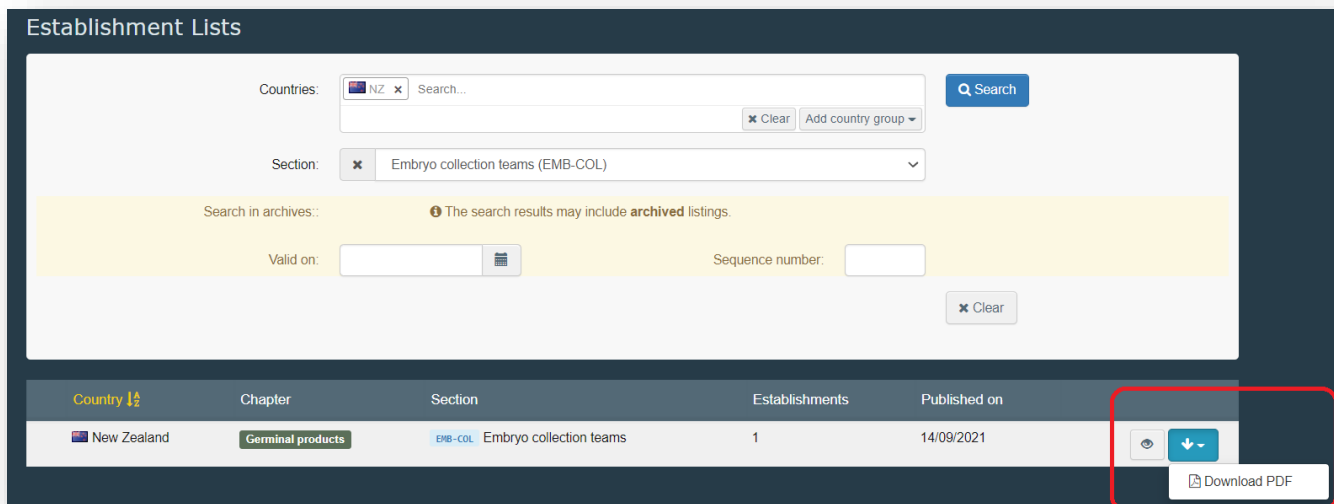
Creation of a new Establishment Amendments list (LMS list)

In the home page click **"Establishment Amendments List"**
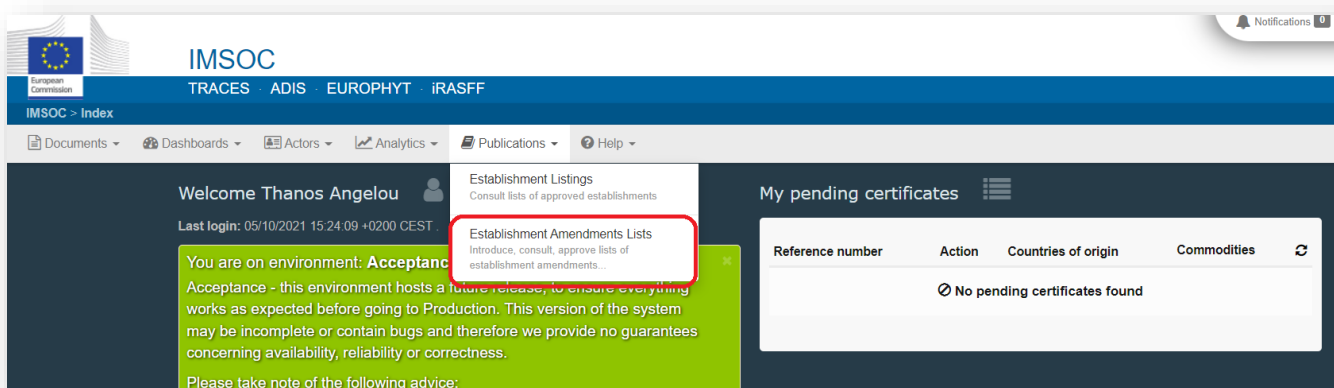
All Establishment Lists of your country will appear on the screen. The lists that have been submitted and published successfully will appear with the option **"Published"**, whereas the lists that have been submitted for evaluation but not published yet will appear with the option **"Under Revision"** or **"Under Examination"**.
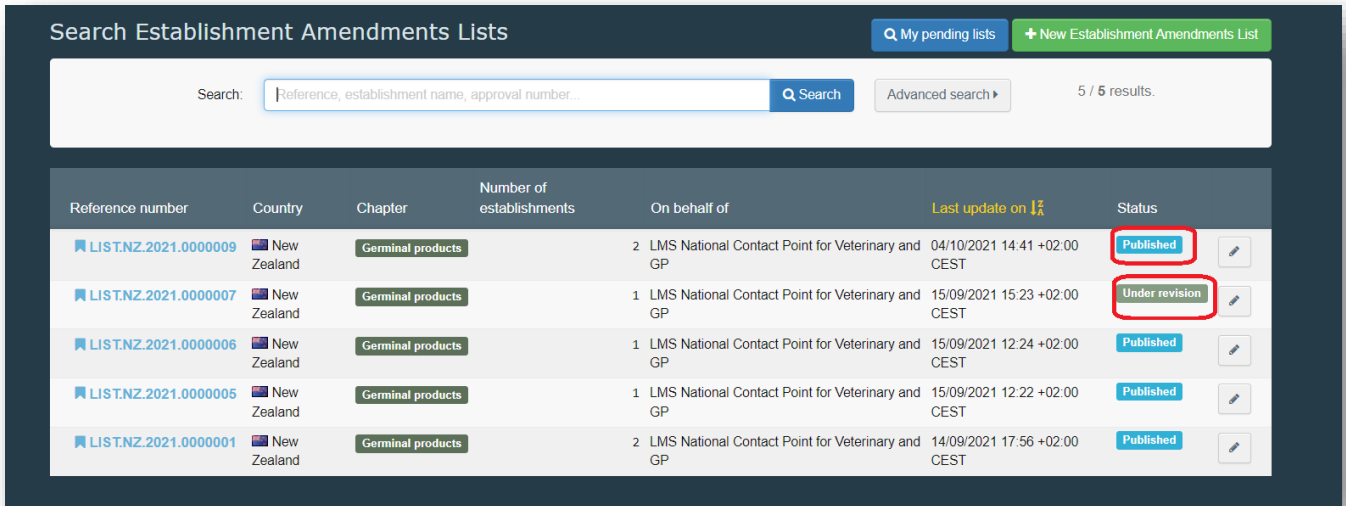
> The different statuses are:
>
> **Saved**: the list has been created as a draft but not submitted yet.
>
> **Published**: the list has been successfully submitted and published.

> **Under Examination**: the list has been successfully submitted and the list is been under examination by the European Commission.
>
> **Under Revision**: the list has been successfully submitted and the European Commission decides that the initially submitted list needs certain modifications.

For creating a new List, click **"New Establishment Amendments List"**
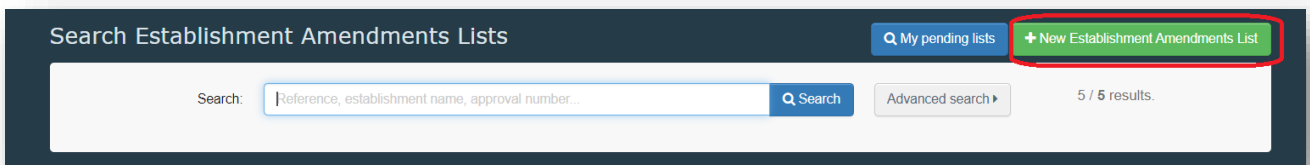
You will be directed to a new page where you will be able to introduce all the information regarding your new list.
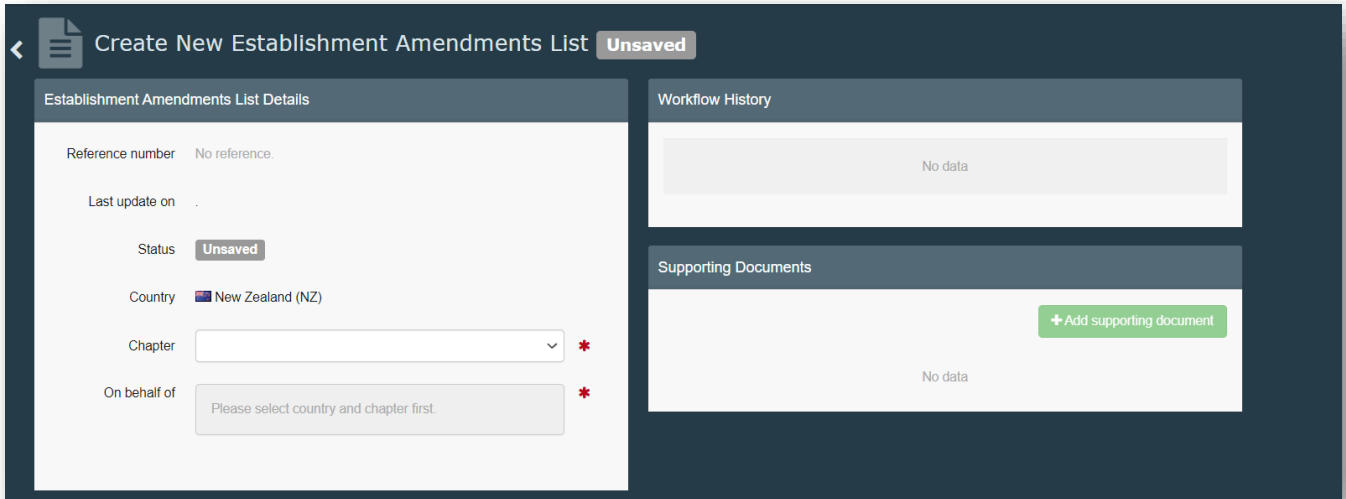
Next step is to introduce information in the Box **"Establishment Amendments List Details".** The section **"Country"** is being automatically generated.

Select among the available options in the field **"Chapter"**.

> Please note that the available options that will be appear in the drop down menu are related to the chapters relevant to the competences of the user. For example in this below mentioned paradigm, the user is affiliated only to the chapters "Germinal Products" and "Veterinary".
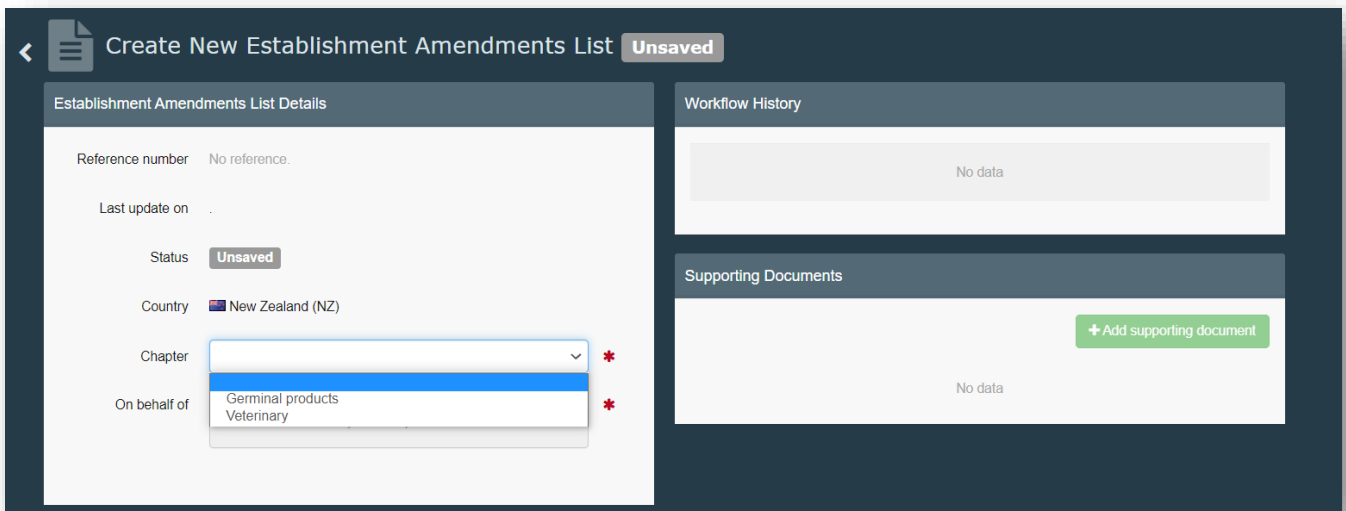
Immediately as soon as you have selected the Chapter, the section **"On Behalf of"** will be automatically. It refers to the competent authority that you are affiliated to.

> The asterisk means that the field is mandatory

In the same page, you click in the bottom right the option **"Add Section".**

By clicking "**Add Section**", immediately a drop down menu will appear. Select the appropriate one that corresponds to your list.
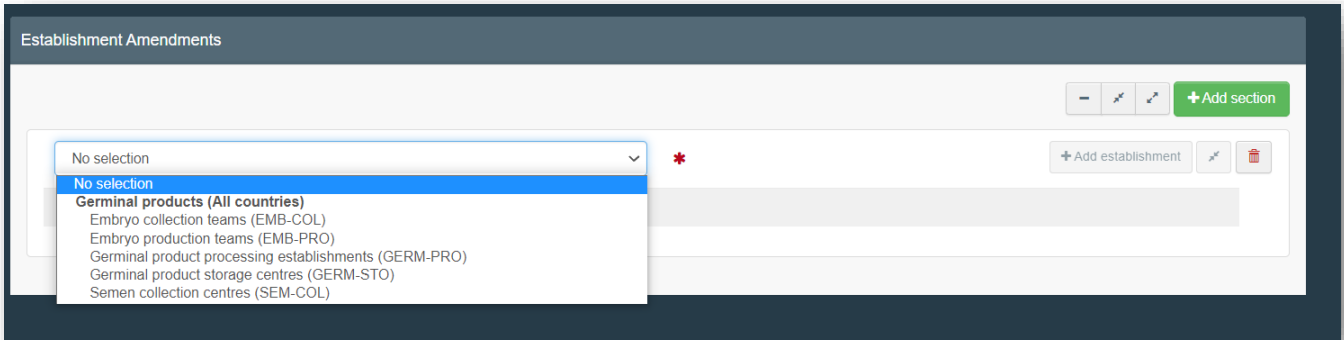
Please note that the Sections that will be available here are closely related to information that you introduced in the previous step. In this example, the Chapter "*Germinal Products*" was selected. Hence, the available options here are related to Germinal Product sections.

As soon as you select one of the available options, you have to click the option "**Add establishment".**
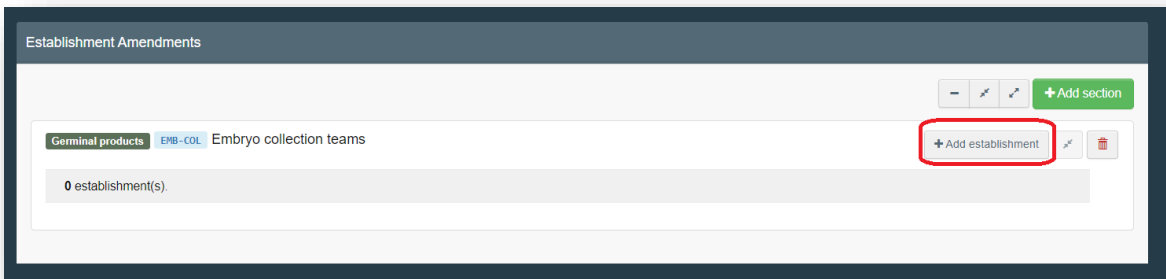

A new section will appear in which you have to complete the information of the operator.
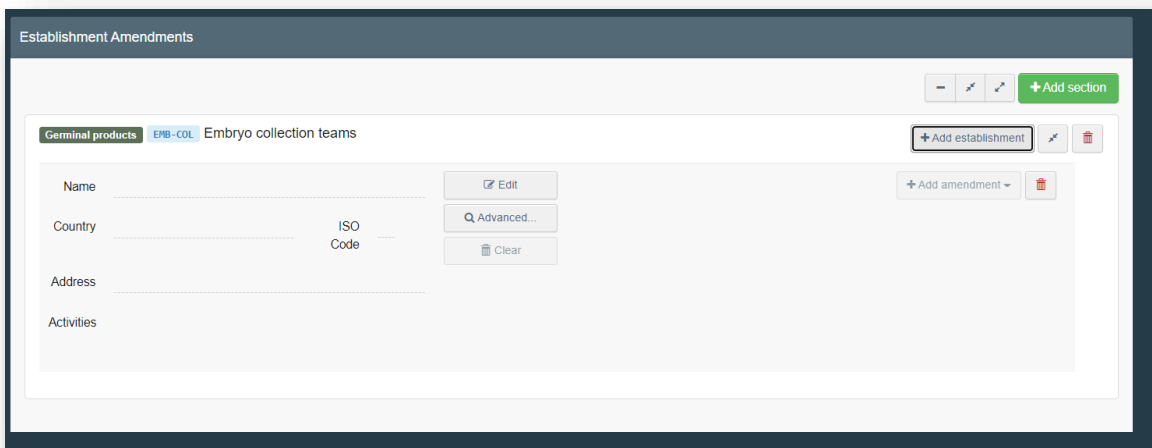
Select in the section **"Country"** your country and in the section **"Name"** the name, address or city of the operator. If the operator already exists, then it will appear in the drop down options and you will be able to select it.
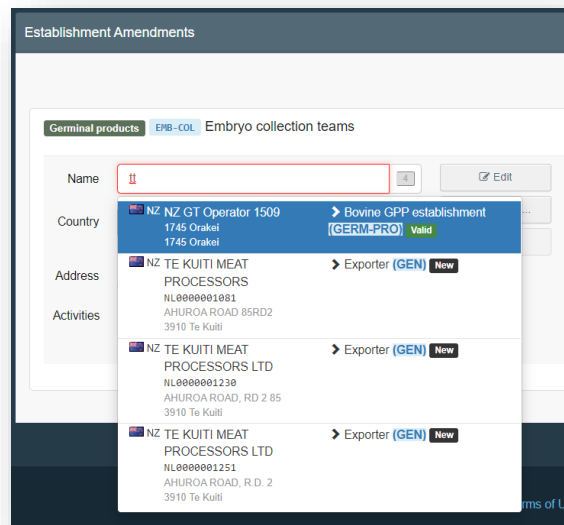
As soon as you select the operator, then all the rest information will be filled automatically.
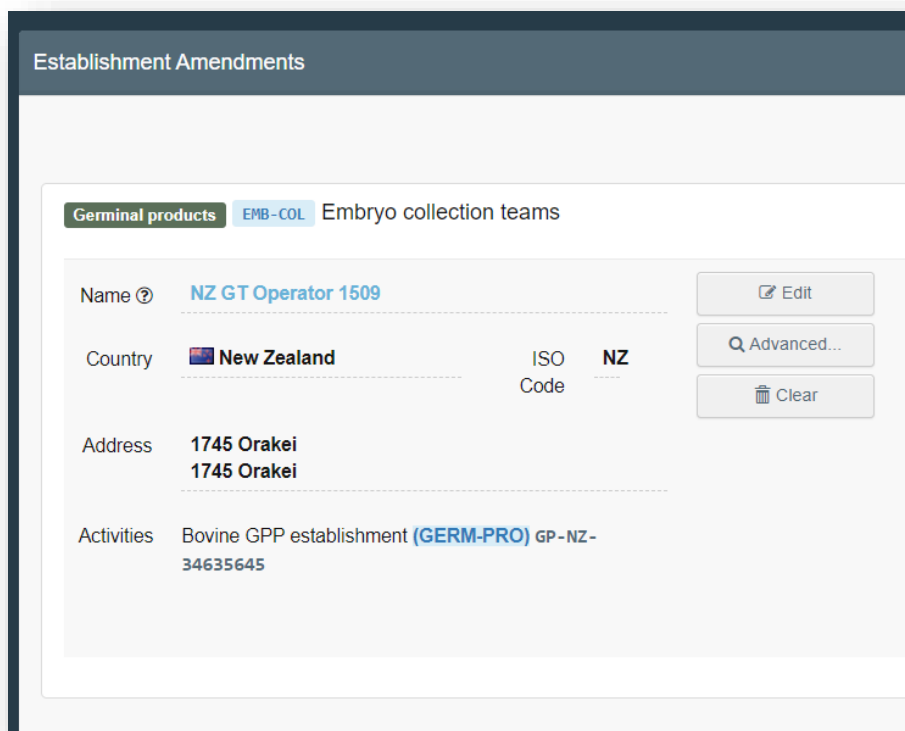
Create a new approved establishment

> **Note**: If the operator you are looking for is not already registered in the system, you can create a new one by clicking on **"+ Create a new Operator"**. By clicking there, you will be directed to a new window where you can create a new operator by indicating all the necessary data. In order to finalize the process, click on **"Save"**.

- As soon as you selected or created the approved establishment, you can continue by inserting the information for the amendments of the already existing establishment.

Click **« Add Amendment »** and select one of the options that will be available on the drop-down menu.

> The options that will be available are related to the section that you selected in the previous step.
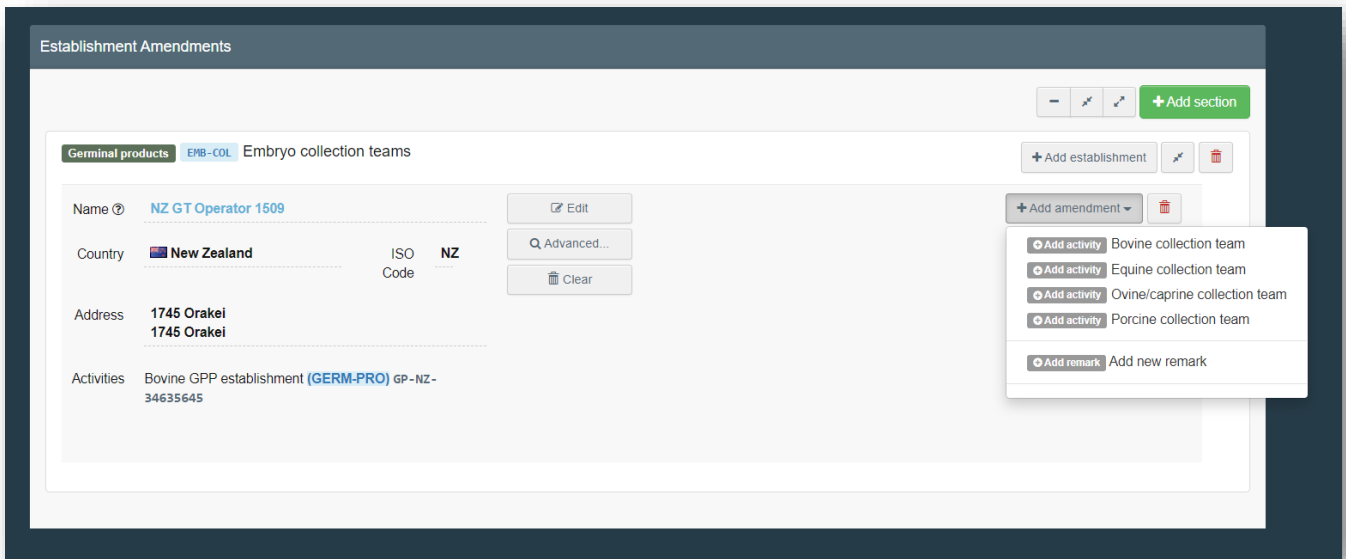
As soon as you selected one of the available options, then you will be able to complete all the relevant information. This includes (the relevant fields may vary according to the selected chapter):

- **Approval number**

- **Team Veterinarian(s)**

- **Germinal Product Type**

- **Date of approval**
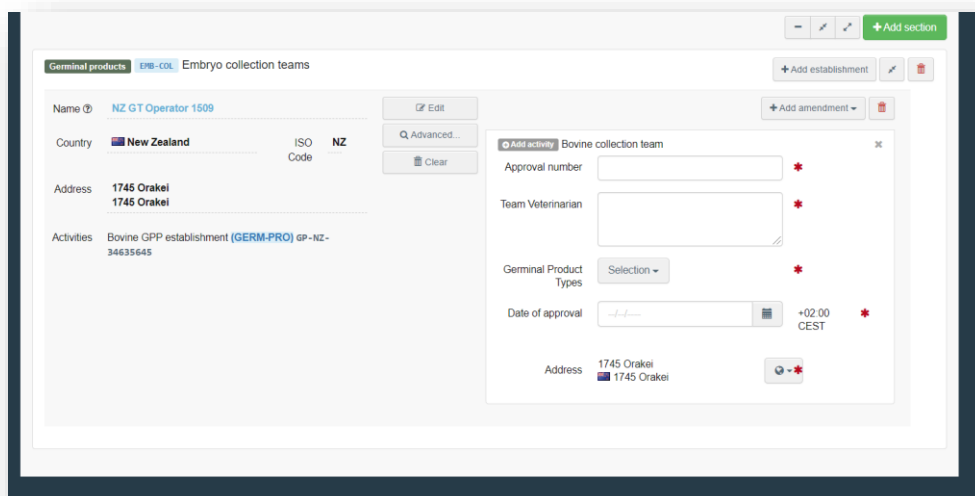
By completing the necessary information then you will be able to add new sections with different information.
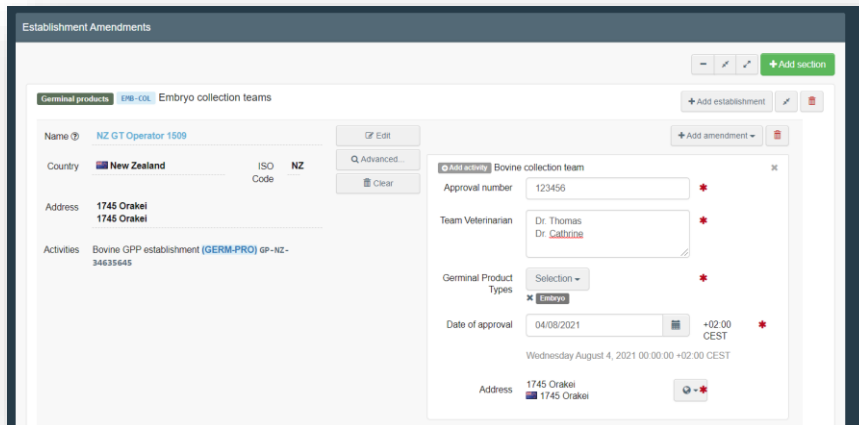
> You can add extra sections but they have to be affiliated to a new Germinal Product Type. You can only identify that by noting that in the new drop-down menu there will be fewer options. Briefly, the types of Germinal Products that were already selected, they will be missing.
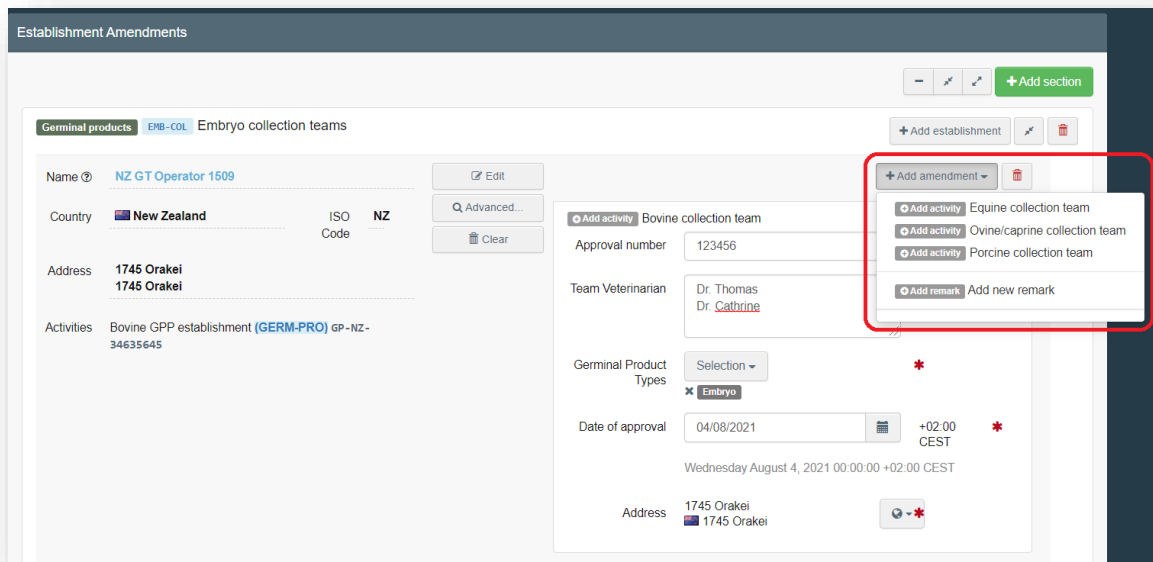
By adding a new Team, all the information will be duplicated based on the information that you entered in the previous team, but you are free to modify it.

> Please note that for the Germinal Product types, you can select more than one option.

Add multiple sectionsYou are able to add multiple sections in a single Establishment Listing.

> As regards Food establishments under the **FFP Section**, it is highly recommended that you separate vessels and land-based establishments and you encode them in separate lists.

Click on **"Add Section"**

As soon as you click on the option **"Add Section"**, a new section will appear in the bottom of the already existing list.

> You can add multiple sections but only new ones. That means that you are only able to select a new section

> You can identify that by noting that in the new drop-down menu there will be fewer options. Briefly, the Sections that were already selected will not be displayed.
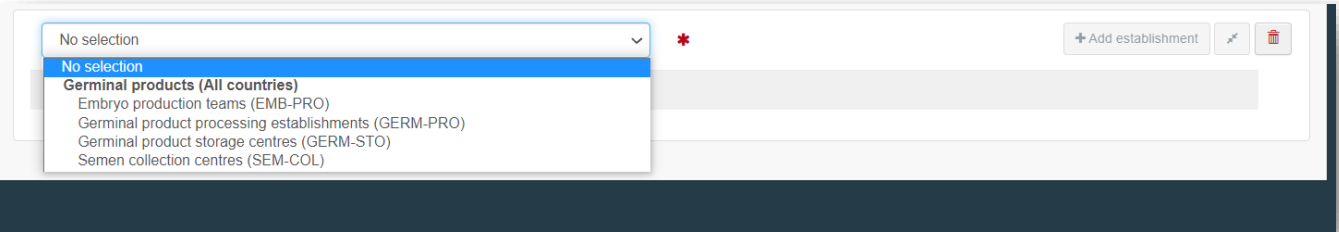
For creating a new section, you have to follow the same steps as you did for creating the first section.

> You can also add multiple teams in the new section. Please note that function refers only to germinal products.

In order to do so, you have to follow the same steps as it described above.

Add supporting documents

You can upload one or multiple supporting documents in your new list.

> Including supporting documents in the new list is not mandatory.

Click on "**Add supporting document**" and then complete all the necessary information.

> In case you select to add a supporting document, then some fields are mandatory and they are highlighted with an asterisk.

The size of each file should not exceed **2MBs.**

Save as new

As soon as you have completed the importation of all information in the new list, you can now save your new list as a draft.

Firstly, click on "**Save as New**" in the right bottom of the page.

> Please note that in the top of the page you can always check the status of the list. In the first steps when you are still working on the creation of the new list, you will see the status **"Unsaved".**
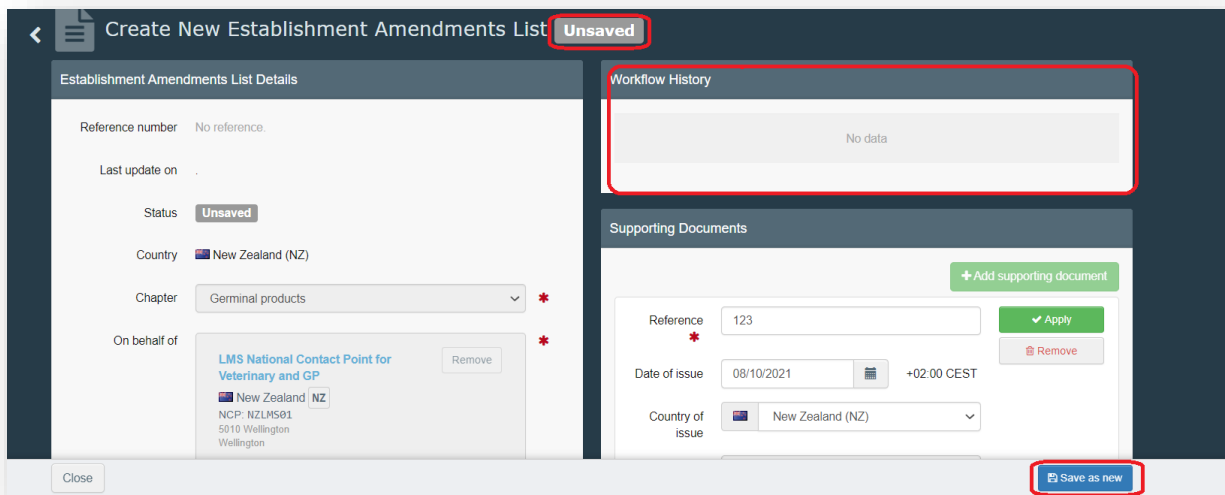
Please note that on the right part of the page you can always consult the "Workflow History".

This new section will be very helpful, since it will keep a detailed track of all your actions related to this list. In this very first step of the process, there is no data recorded. However, as soon as you proceed with saving and later submitting your list, this information will appear in this section with chronological order.

As soon as you clicked on the option "**Save as New**", the status of the list will change to "**New**".
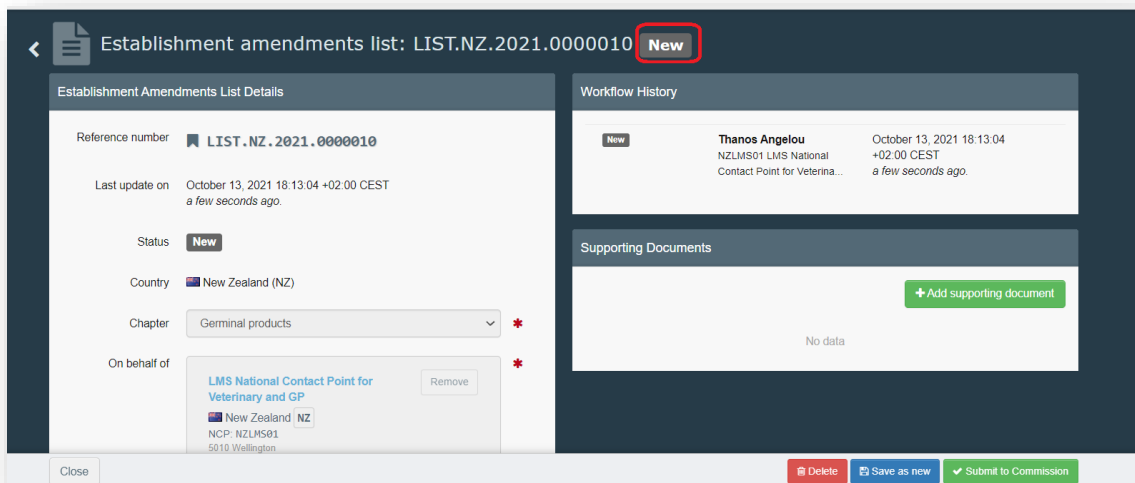
Now in the bottom of the page you will have three new options:

- **Delete**: In case, you want to delete the list before submitting to the European Commission for publication.

- **Save as new**: In case, you make modifications in the data of the list.

- **Submit to Commission:** In case, you have finalise all the data importation and you are ready to submit your new list to the European Commission for publication.

Submit for publication

As soon as you have completed the importation of all information in the new list, you can now submit your list for publication.

Firstly, click on "**Submit to the Commission**" in the right bottom of the page.

> Please note that as soon as you submit the list for publication, you will not be able to proceed with any further amendments in the list.
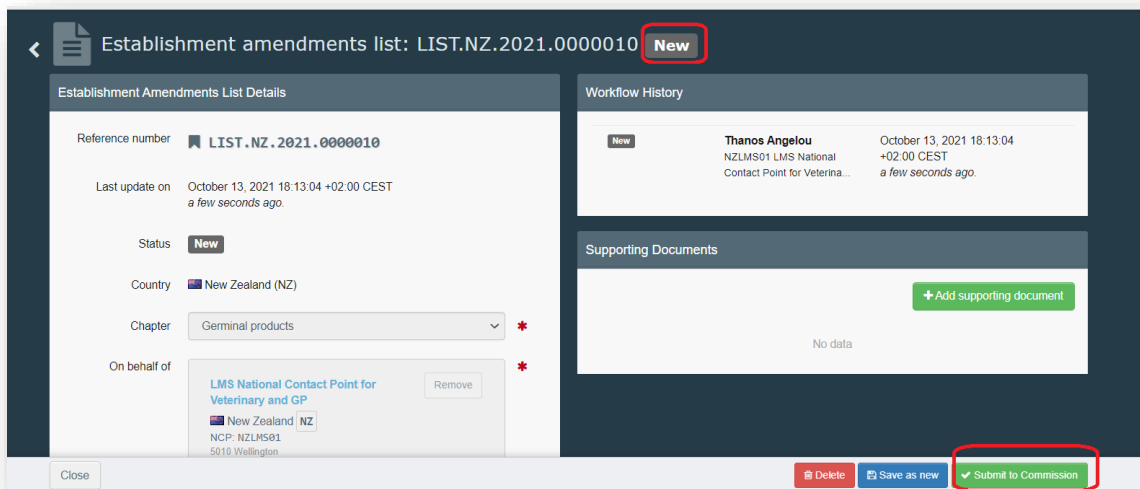
As soon as you click on the option "Submit to Commission", you will be directed to a new window.

- In this new window, you have the option to write a text that will accompany your submission. This text is not mandatory. However, the section below the declaration is mandatory and it is based on the establishments' applicable chapter.

> As soon as you click on the box on the left, the option "Proceed" on the bottom will be available

> By clicking on the option "**Proceed",** you have completed the first step for the finalization of the submission process.

- Now, the European Commission will receive your submission request and will proceed with the examination of your new list.

As soon as you clicked on the option "Proceed", the status of the list will change to "**Under examination**".

You can also check that inthe homepage, click on top menu **"Publications"** and click **"Establishment Listing"**

First scenario: the European Commission confirms your request and publishes the submitted list

After the European Commission confirms that your request does not need amendments or further documentation to be provided, the list will appear as "**Published".** To consult the published list, you can click at the list reference number on the left part of the screen (as per the screenshot below).

In this case, by opening the list you will see on the top the status "**Published".** In the "Workflow History" you can see all the actions related to this list.

> Please note that after the list has been published, you will not be able to proceed with further amendments.

Second scenario: the European Commission has comments on the submitted list

In case the European Commission decides that the initially submitted list needs certain modifications (e.g. due to the encoding of wrong data or to request further documentation) before being published, it is possible to return it to you for revision. In that scenario, the list will appear as "**Under revision".** In this case, you have to open the list by clicking the list reference number on the left.

After opening the list, you will see on the top part of the screen the status "**Under revision".** In addition, by checking the "**Workflow History"** section, you will be able to see who processed your list submission and any relevant comments, where applicable.

- After you have completed the necessary amendments, you can submit the revised list again for publication. In order for you to do so, you have to follow exactly the same steps as it have been described above for the submission of your initial list.

> You can use the optional text in order you to describe the modifications that you have performed.

Submit Revision to European Commission

Full name:

Authority: **LMS National Contact Point for Veterinary and GP**

Role and code: NCP NZLMS01

Country: New Zealand NZ

Comment: The modifications have been copmleted as requested

☑ The germinal product establishments are approved and listed as referred to in Article 233(1)(b) of Regulation (EU) 2016/429 and comply with requirements referred to in Article 82(2) of Delegated Regulation (EU) 2020/692.

✖ Return to list   ✔ Proceed

After the submission, the European Commission will be notified and will have to confirm the publication of the newly submitted list. After the confirmation from the European Commission, the relevant amendments become applicable instantly.

As soon as the list is confirmed by the European Commission, then it will appear with the status **"Published".**
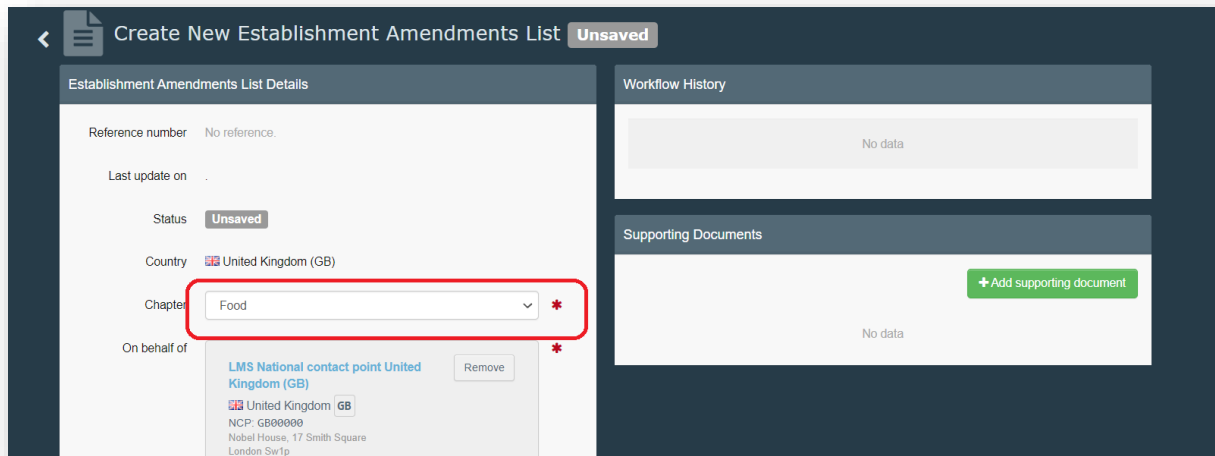
Deletion of an existing validated list

Firstly, you have to create a new Establishment Amendment List

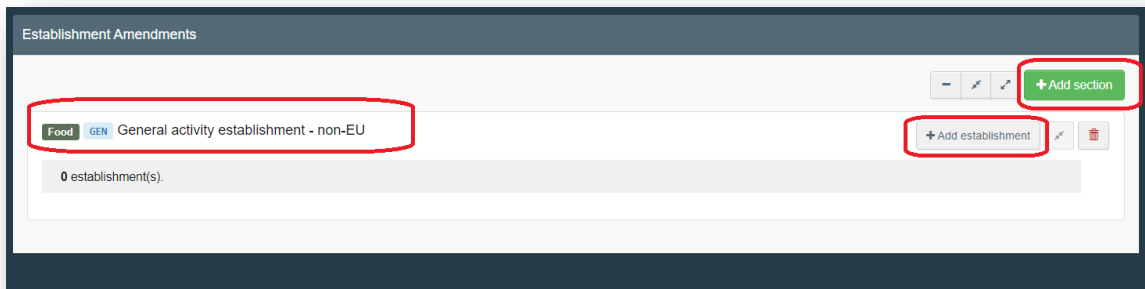Follow the same steps as for creating a new Establishment Amendment List
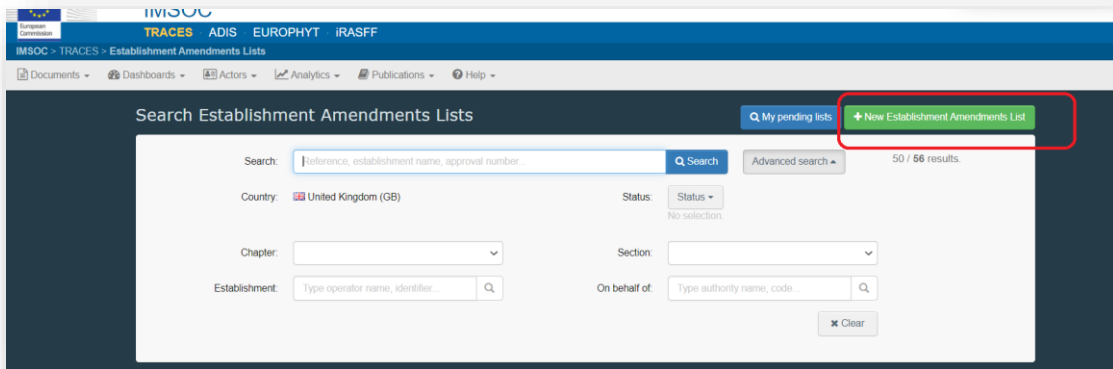
Follow the same procedure by selecting the **Chapte**r

- Select "**Add Section**"

  Select the Section that is related to the Establishment that you want to delete.

- As soon as you selected the section then you have to click "**Add Establishment**"

> By clicking in the "**Add Establishment**", you have to select the establishment that you want to delete from the drop down menu on the left of the screen.
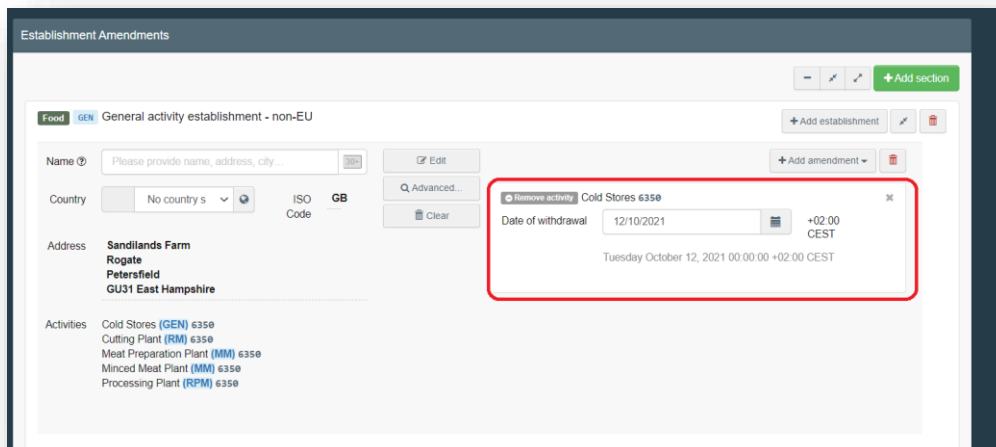
> Until now, it is exactly the same procedure as when you are creating a new establishment.

Then you click **"Add Amendment"** and from the drop down menu, you will directly notice that there is one option "Remove Activity".

- You click on "**Remove Activity**"
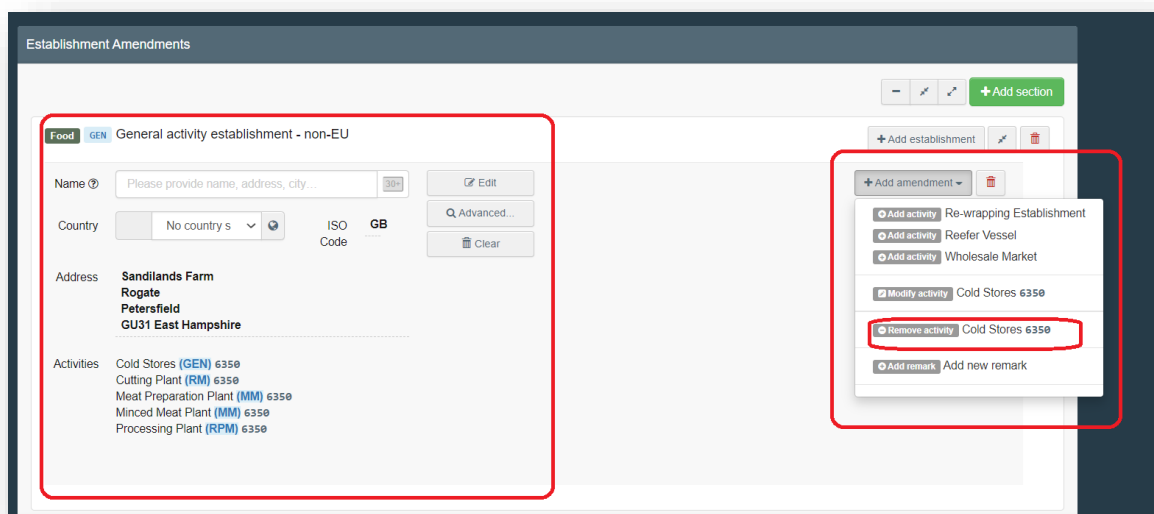
As long as you click the option **"Remove Activity"** then you will have the option to select the date of withdrawal.

The next steps that you have to follow are the same as for submitting a new list for publication.

Modification of an existing establishment

You have to simply follow the same steps at is has been described above for the creation and the deletion of an establishment list through the menu "Amendments Establishment Listing"

Once you reach the step for selecting the section and then the establishment, then you click **"Add Amendment"** and from the drop down menu, you will directly notice that there is one option Modify Activity" or "Add Remark" in case you want to add a remark in the establishment.
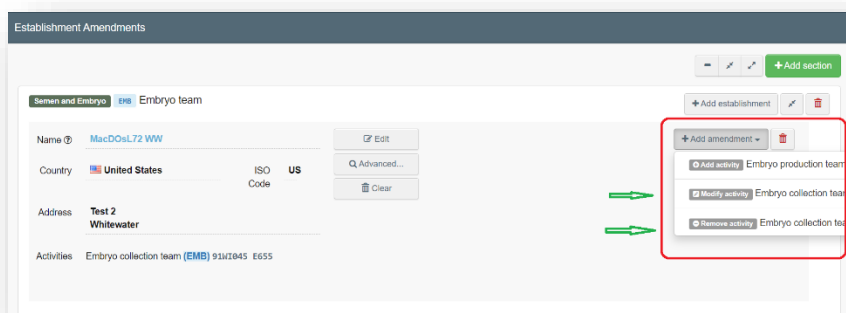
Modification of the address on an already validated establishment

In case you want to modify the address on an already validated establishment, then you have to follow a different procedure.

Firstly, you have to go through the welcoming page and select the option "**Actors**" and then select "**Operators**"
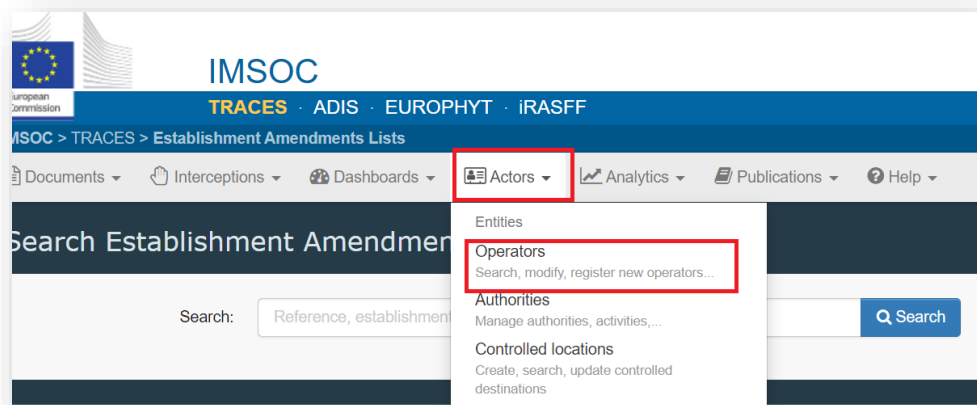
Then by using the "**Advanced search**" option, you can find the establishment that you are willing to modify the address.
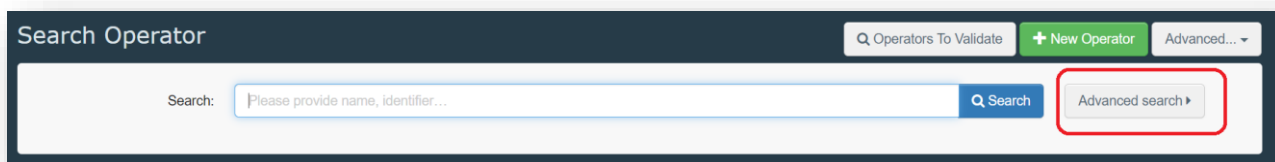
By using this "Advanced search" option, you have multiple filters, such as **"Country", "Section", "Activity Type"**, which they can help you to find easier the establishment under your concern.
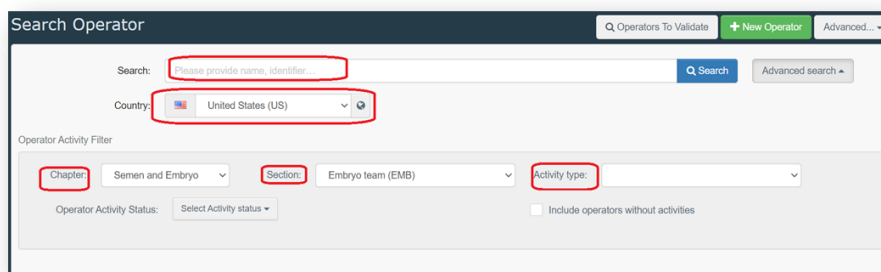
Then you will be able to find the establishment under your concern.

As soon as you found the establishment, then you select the option **"Add address".**

As soon as you select the "**Add address**" then you have to include the new address and then select the asterisk and then **save the changes** that you have performed.
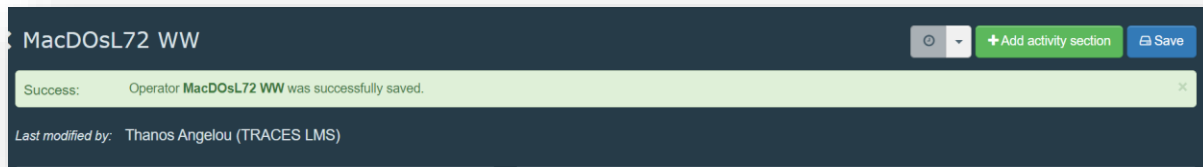

After you have saved successfully the changes, you will receive a confirmation highlighted in green on the top of your screen.

> Please note that until this step you have successfully changed the address of the establishment of your choice.
>
> This modification should be declared by the **Establishment Amendment Lists** option.
>
> In order to do so, so simply follow exactly the same steps as you did for the creation of a new Establishment List.

As soon as you followed the same steps as you did for the creation of a new Establishment List, you will have to select the new Establishment with the new address that you have previously modified.
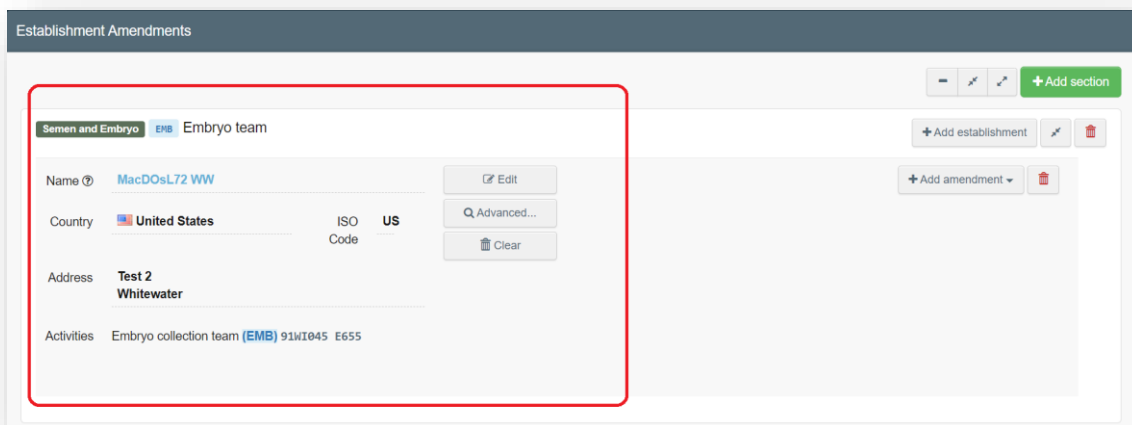
As soon as you have selected the new Establishment with the new address, then you have simply to follow the same steps for the submission of the Establishment Amendment to the European Commission.

> Please note that in case you want to modify the **contact details** of an already approved establishment, then you can simply modify that from the "**Operators**" section without requesting an amendment list afterwards.
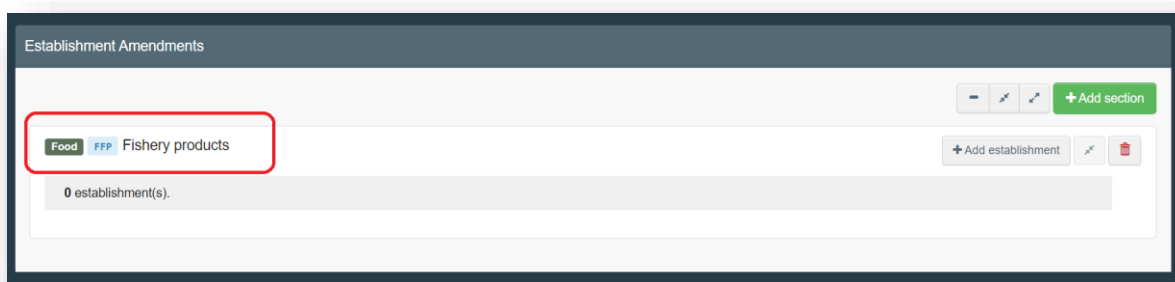
Listing of a vessel

In case you want to list a new vessel, you have to follow the same steps as the ones that have already described for the creation or modification of the Establishments Lists.
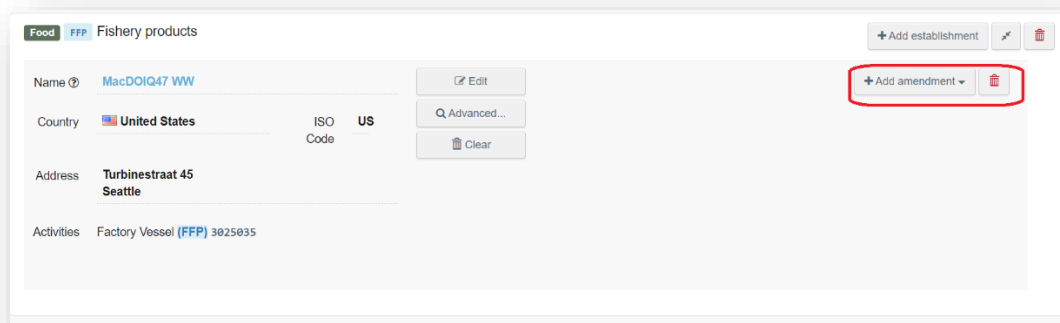
Select "**Create New Establishment Amendments List**"

Select the "**Chapter**"

Select the "**Section**"

> Select the option "**Fishery Products**" FFP

Then select "**Add establishment**" and then select the establishment under concern and then select "**Add amendment**"

As soon as you have selected "add amendment" then you will have to fill in the information in the boxes that will appear, including the approval number and the date of approval.

> In addition, you will have to follow some extra information that is specifically necessary for the listing of a vessel. That includes:
>
> > • **Flag country**

- **Ship's name**

- **IMO number or National Registration number**

Select "Create" and then you have simply to follow the same steps for the submission of the Establishment Amendment to the European Commission.