



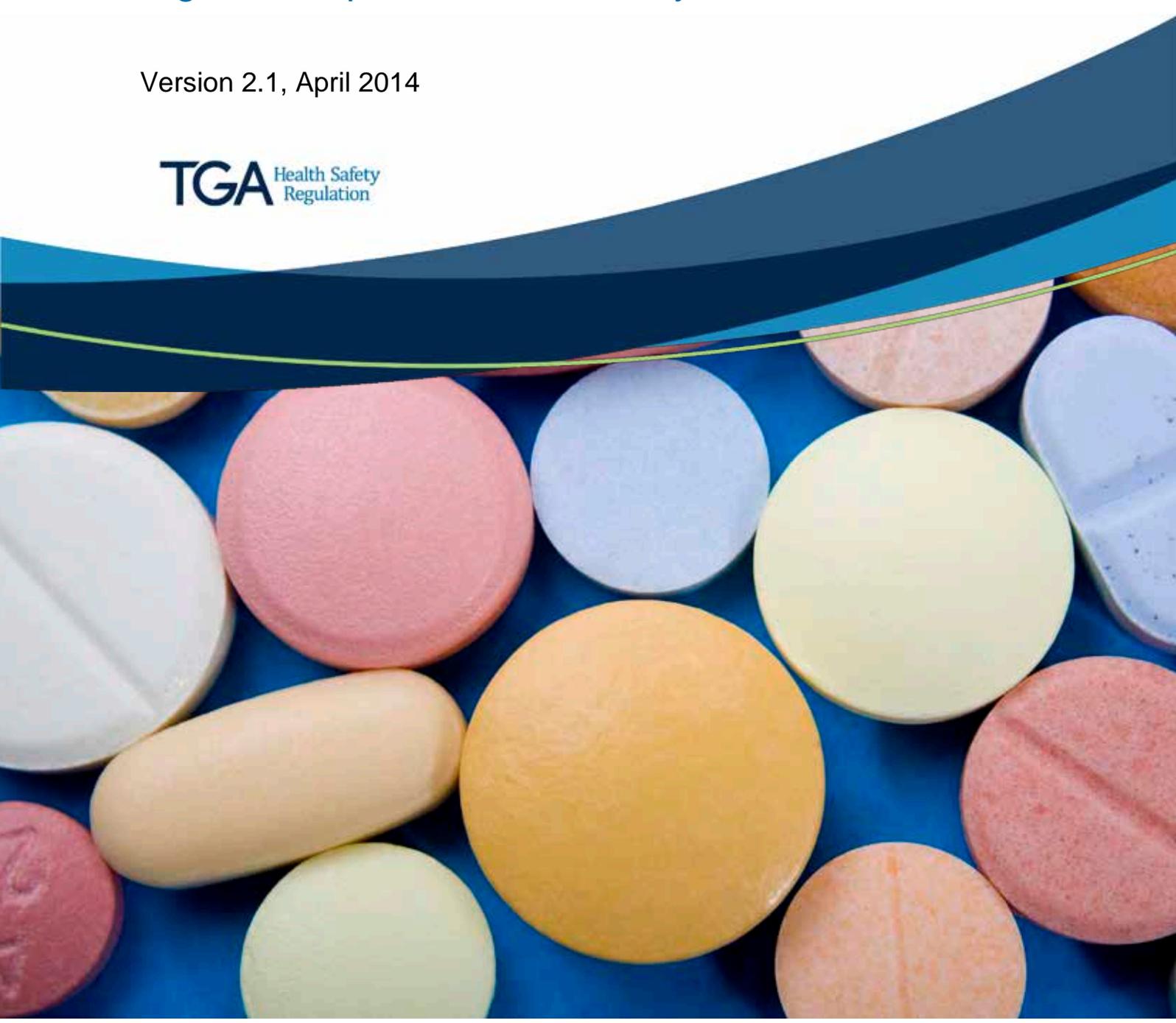
Australian Government
Department of Health
Therapeutic Goods Administration

Information for applicants completing a pre-submission planning form

Applicable to pre-submission planning forms
lodged under the prescription medicines
registration process from 1 May 2014

Version 2.1, April 2014

TGA Health Safety
Regulation



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Introduction

When an applicant lodges a *Pre-submission planning form* (PPF), the first phase of the prescription medicines registration process begins. Information about the process is provided in [Prescription medicine registration process](#) available on the TGA website.

The PPF provides the TGA with the necessary information on the scope and scale of application to arrange appropriate resourcing for the processing and evaluation of an application, including where relevant, the contracting of external evaluators.



A submission is one or more applications from the same applicant, with the same active ingredient, lodged at the same time. The dossier contains all the information required by the TGA to evaluate an application(s).

Applications for new registrations are lodged under section 23 of the *Therapeutic Goods Act 1989* (the Act), while variations to existing registrations are lodged under section 9D of the Act.

A complete PPF identifies the proposed application type, and contains general information and details of the quality, nonclinical, and clinical evidence to be included in the dossier. The information provided in the PPF allows the TGA to commit to timeframes for the evaluation of the application.

For the TGA to consider a PPF to be an effective application under section 23(2)(d) or section 9D of the Act it must include all the information specified in the PPF. Once accepted the applicant will receive a *Planning letter* that identifies target milestone dates for the phases of the evaluation process.

In lodging a PPF, the applicant undertakes to lodge the entire dossier by the proposed lodgement date. Applicants should not therefore lodge a PPF until they are confident all necessary information required for an effective application will be ready for delivery by the proposed lodgement date.

This document assists applicants to complete the PPF dated April 2014. Applicants should not lodge a PPF without consulting this document.

Content of this document

This document contains the following information:

- instructions for completing each part of the PPF
- details of the content of any attachments that must be uploaded when the PPF is lodged
- where applicable, an explanation of the specific purpose for which the information is required, for example, allowing the TGA to manage concurrent processes where they occur, or ensuring various pre-conditions have been fulfilled
- any other actions applicants need to take
- general information of relevance to the PPF and the dossier.

The pre-submission planning form

The PPF is divided into three parts:

- Part 1 - Applicant and product details
 - 1.1 - Applicant details
 - 1.2 - Product details
 - 1.3 - Indications
 - 1.4 - planning
- Part 2 - Details of application
 - 2.1 - General information
 - 2.2 - CTD Modules 1–5
 - 2.3 - Justifications and further information
 - 2.4 - Summary of attachments
- Part 3 - Declaration.

Completing the Pre-submission planning form

The [PPF](#) must be downloaded from the prescription medicines section of the TGA website and completed electronically. The TGA will not accept PPFs completed by hand.

To select or de-select a check box, either:

- use the mouse to select the check box
- use the keyboard to highlight the check box and press the space key.

Free text fields will expand to accommodate text. If more space is required, the information must be supplied in an attachment uploaded with the PPF.

The eBS help text provides assistance on completing the required information and naming the attachments to be uploaded. Help text is accessible from the pre-submission screen in [eBS](#) by clicking the 'help' button in the top right hand corner of the screen.

Organisation of this document

The numbering of sections in this document follows the numbering in the PPF. Part 1, Part 2 (Sections 2.1 and 2.3) and Part 3 are numbered sequentially.

The numbering hierarchy used in *Part 2, Section 2.2 - CTD Modules 1–5* corresponds directly to the numbering and hierarchy of the relevant CTD Modules and documents. The numbering in this part of the PPF is not sequential as references to CTD documents not relevant to the pre-submission phase (i.e. not required for an understanding of the scope and scale of the application) have been omitted.

For information on the common technical document (CTD) format and Modules, see the introduction of [CTD Module 1: Administrative information and prescribing information for Australia](#).

Attachments

Applicants must upload a number of attachments (documents providing additional information) when lodging the PPF through eBS. The prefix ** against the name of a document in the PPF identifies where attachments are required.

Naming of attachments

In some instances, the exact name of the attachment is specified in the PPF or in this document. Where the exact name is not specified, the name of the attachment must include, at a minimum, the following:

- PPF section number or CTD module number
- PPF section title or CTD module title
- where there are multiple attachments required within one section, a brief description of content.

For example, the attachment containing the copy of the orphan drug designation should be named '1.5.2 - Orphan drug designation'. Applicants should exercise judgement to ensure the TGA can clearly identify the appropriate attachments.

Related documents

The following documents provide further information about the regulatory requirements for Category 1 and 2 applications for prescription medicines (other than applications solely for an additional trade name):

- [Prescription medicine registration process](#). This document provides an overview of the TGA's regulatory processes for category 1 and category 2 applications.
- [CTD Module 1: Administrative information and prescribing information for Australia](#)
- [Mandatory requirements for an effective application](#)
- *Questions and answers about the prescription medicines registration process*. These pages are updated on a regular basis in response to queries from applicants about the process. Subscribe to the [TGA-update email list](#) to receive notifications when the *Question and Answers* page is updated.

What will the TGA do with this information?

The TGA will use the information in the PPF to:

- ensure correspondence to the applicant is directed to the correct person(s) at the correct contact details
- confirm that the application has been lodged under the correct regulatory framework and is the correct application type
- make a judgement about the scope and scale of the application and identify the expertise, work areas and resources required for the evaluation of the application
- confirm that the proposed application(s) can be treated as a single submission as specified in subclauses 1(2) and 1(3) of Part 1, Schedule 9 to the Therapeutic Goods Regulations 1990 (i.e. multiple submissions are not required)

- manage any potential scheduling issues. For example, if the TGA must make a scheduling decision, the timeframe for the evaluation process may need to be altered to allow for a scheduling committee meeting
- determine whether the completion of the evaluation of any related application is necessary before the proposed application can proceed
- ensure that, if and where appropriate, the results of previously evaluated work are considered and any deficiencies or issues identified with a previous PPF or dossier have been addressed
- determine the target milestone dates for the evaluation process, including the appropriate ACPM meeting should the delegate choose to refer the application to this committee
- confirm that any relevant pre-conditions to lodging a PPF have been met:
 - notifications of new proprietary ingredients and applications for new AANs have been lodged
 - the justification for a new fixed combination is acceptable
 - all elements of a literature search strategy have been approved if a literature based submission
 - the medicine, the dose form, and the indication(s) proposed are covered by an orphan drug designation
 - required applications for GMP clearances or licences have been lodged and are active
- consider the impact of the proposed justifications in relation to:
 - the information to be evaluated and its impact on the evaluation plan
 - potential technical issues with the proposed justification(s)
 - whether the applicant has provided an overview of all justifications that are likely to be required in the dossier.
- consider the information and note in the Planning letter whether the applicant should take any special action prior to lodging the dossier.

Completing the pre-submission planning form

Part 1. Applicant and product details

1.1 Applicant details

How to complete this information

Record the information requested in the spaces provided.

Ensure that where the postal address differs from the street address you have provided the postal address.

What else do I need to do?

Applicants who do not have an eBS client ID will need to [apply for an eBS client ID](#) before lodging a PPF. This can be done through the [eBS website](#).

Ensure that at least one of the nominated contact persons are available throughout the evaluation process, particularly in the 12 weeks following PPF lodgement, to respond to any questions the TGA may have about the PPF and dossier. If the contact persons or the contact information changes during the pre-submission/evaluation processes, the TGA case managers should be informed immediately.

Case managers should be contacted through the prescription medicines registration process mailbox (streamlinedsubmission@tga.gov.au) and the subject line should include the following: *PM-XXXX-XXXXX-X-X Applicant name active ingredient*.

1.2 Product details

Medicinal product details

How to complete this information

Indicate whether the proposed products contain a single active ingredient, multiple active ingredients, and whether or not they are multi-component. A product can be both single or multiple active ingredients, and a multi-component product.

Indicate whether the product is: a biological substance, sterile, a product of a fermentation process, composed of a sterile active ingredient that is not subjected to further sterilisation during drug product manufacture, multi-dose, or supplied with a device. Where the product is supplied with a device, record the details in the space provided.

There are multiple sections of legislation regulating biologicals (i.e. products containing one or more active ingredients that are biological substances). You will need to confirm that you lodging your application under the appropriate legislation (see below). You should only lodge a PPF if lodging an application under section 23 or section 9D(3) of the Act for a prescription medicine. You should not lodge a PPF if lodging an application under section 32A of the Act.



Regulation of biological products – prescription medicines and the biological framework

A product containing a biological substance will be regulated under the Biologicals Regulatory Framework if it meets the definition of a biological under section 32A of the Act.

Goods declared to not be a biological are not included in the Biologicals Regulatory Framework but are regulated as either a medicine or a medical device. These products are included in the [Therapeutic Goods \(Things that are not Biologicals\) Determination No.1 of 2011](#).

The following products are currently declared to not be biological and are regulated as prescription medicines:

- biological medicines including:
 - vaccines (that do not contain viable human cells)
 - recombinant products
 - plasma-derived products (or that contain plasma-derived products).

Product table

How to complete this information

Complete the information in the table for every product that will be affected by the application. Appendix A contains examples of how to complete this table for different product types.

Note:

- for existing products, the Aust R number must be included
- for new registrations, all trade names must be recorded in the table¹
 - if the trade name is undecided at the time of PPF lodgement, record '[trade name]' in the trade name field.
 - if multiple unknown trade names are to be sought, record the total number of unknown trade names proposed in the trade name field
- record the active ingredients in full, including the salt or ester
- the Australian approved name (AAN), approved biological name (ABN) or approved herbal name (AHN) must be used when recording the active ingredients. Where an AAN/ABN/AHN has not yet been allocated, record that an application has been made for the name (see Part 2, Section 2.1, Ingredients/proprietary ingredients for more information) and ensure that the proposed AAN/ABN/AHN is used in the PPF.
- for multiple ingredient products and multi-component packs, see [Appendix A](#) for examples.

¹ A PPF may be lodged if the trade name is not yet confirmed. However, the proposed trade name must be confirmed before lodgement of the dossier so the necessary labels, product information documents, and other materials can be included. If necessary, applications for additional trade names can be lodged following registration.

If there is insufficient space in the table for all the proposed products, insert the comment 'see attached document' in the first row. Create a separate document with a table in the same format and record all products. Upload the document as an attachment when lodging the PPF in eBS.



Important note

To ensure accuracy and consistency of the information recorded on the Australian Register of Therapeutic Goods (ARTG), the TGA maintains lists of Australian approved terminology. For medicines, the lists cover substances (active ingredients and excipients), containers, dosage forms, routes of administration, and units of expression and proportion. It is essential that when completing the product table, applicants use [Australian approved terminology](#) where relevant.

- If the product comprises a novel dosage form, uses a novel container type or novel ingredients, applicants must apply to the TGA for approval before lodging the PPF. Procedures for applying for new ingredient names are covered under Part 2, Section 2.1, Ingredients/proprietary ingredients. For novel container types and dosage forms, contact the TGA for advice.

What else do I need to do?

Whilst a PPF can be lodged before the trade name is decided, the trade name must be decided prior to application lodgement as label mock-ups, product information, and various other documentation provided in the dossier must show the proposed trade name.

Refer to the TGA's *Questions and Answers* page for more information about checking proposed trade names before lodging a PPF.

Nature of proposed application(s) – New registrations

How to complete this information

Select one or more of the check boxes to indicate the application type(s) in the submission.

Where applicants wish to register a similar biological medicinal product:

- provide the details of the reference active ingredient and reference trade product (proprietary name)
- select the appropriate check boxes to indicate if the reference product is registered in Australia and has the same form/strength/route of administration
- select the appropriate check boxes to indicate if additional comparability studies have been conducted and whether the same INN/ABN as the reference product is being requested
- where the protected information period has not yet expired, indicate whether it will expire before application lodgement

Note: Where the protected information period does not expire before the application lodgement date, the TGA will be unable to evaluate the application. Applicants seeking the registration of a new similar biological medicine where the protected information period has not yet expired may choose to prepare and lodge a dossier consistent with the technical requirements of a new chemical entity application instead.

Note: Applications for the registration of similar biological medicinal products are treated as new chemical entity applications for the determination of fee category determination. For further information, see [CTD Module 1](#), and the [similar biological medicinal product guidelines adopted in Australia](#).

Where applicants wish to register a new generic medicine:

- provide the details of the reference product and record whether the protected information period has expired
- where the protected information period has not yet expired, indicate whether it will expire before application lodgement

Where the protected information period does not expire before the application lodgement date, the TGA will be unable to evaluate the application. Applicants seeking the registration of a new generic medicine where the protected information period has not yet expired may choose to prepare and lodge a new chemical entity application instead.

- indicate if an overseas reference product was used for the bioequivalence studies

Where an overseas reference product was used, a justification for doing so must be recorded in *Part 2, Section 2.3 - Justifications and further information*. The justification must address all the criteria in the [TGA guideline on Biopharmaceutical studies](#).

Additional trade name applications on their own do not require the completion of a PPF. Where an additional trade name application is being lodged concurrently with an application for a new registration (for example, a new strength):

- tick the box corresponding to the nature of the new registration
- ensure all trade names are recorded in the product details table. If the trade name is undecided at the time of PPF lodgement, record [trade name] in the trade name field.

Nature of proposed application(s) – Variation to Register entry

How to complete this information

Where ‘other variation’ is selected, the details must be recorded in the ‘further detail’ field provided.

What else do I need to do?

Applicants must ensure that the application lodged reflects the application type identified in the PPF, unless advised otherwise by the TGA in the *Planning letter*.

For new generic medicines, applicants must ensure the protected information period for the reference product expires before the application lodgement date. The TGA cannot evaluate new generic medicine applications where the protected information period has not expired and will consider such applications to be not effective.

Proposed schedule

How to complete this information

Where a new substance is proposed, select from the drop-down list the proposed schedule for the substance in the [Poisons Standard \(SUSMP\)](#).

What else do I need to do?

Applicants of new substances should review the National Coordinating Committee on Therapeutic Goods [scheduling policy framework](#). This document explains the processes for scheduling new substances and provides an overview of the types of evidence required to support an application for a particular schedule.

The Secretary or her delegate is responsible for scheduling decisions. A decision on the appropriate schedule for a new substance is made during the decision phase of the evaluation process.

Where an applicant wishes to apply for the rescheduling of a substance already included on the SUSMP, this must be completed prior to application lodgement.

1.3 Indication(s)

How to complete this information

Proposed indications

For a new chemical/biological entity, new combination, similar biological medicinal product or new generic medicine, record the proposed indications, in full, in the first box provided.

For applications involving a change to the currently approved indications record the proposed indications in the second box provided.

For applications where no change is proposed to the indications, tick the 'N' box immediately above the second box and enter 'as currently registered' in the second box.

Currently approved indications

For applications other than a new chemical/biological entity or a new combination, record the currently approved indications. For a new combination, record the currently approved indications for the individual components of the new product. For new generic medicines or similar biological medicinal products, record the approved indications of the reference product in Australia.

Indicate clearly where different indications are proposed for different products in the proposed application. For example:

- **1.5mg tablet**
For the treatment of post-operative nausea
- **10mg injection**
For the treatment of post-operative nausea and vomiting

If there is insufficient space to record the full indications, insert into the field the comment 'see attached document'. Create a separate document with the title '1.4 - Indications' that shows the indications in full. Upload the document as an attachment when lodging the PPF in eBS.

Further information

When applying for a new generic medicine or a major variation, the proposed indications must be the same as, or narrower than, those registered for the reference product(s). If this is not the case, an extension of indication application type, additional data requirements and a higher evaluation fee may apply.

The indications recorded in this field must be essentially the same as those applied for in the dossier. If the indications proposed in the dossier are broader than those specified in the PPF, this may be grounds for the TGA to consider the application not effective and not accepted for evaluation. Any difference between the PPF and the dossier must be described and justified in Module 1.8.3 of the dossier. See [CTD Module 1](#) for further information.

1.4 Submission planning

Overview of application

How to complete this information

Applicants must provide a brief summary of the application, including an overview of the product to be registered and/or proposed variation(s).

If the PPF relates to a previous ineffective PPF or application, applicants must include in the 'Overview of application' section details on how they have addressed deficiencies identified in the previous PPF or application.

The field will expand to accommodate the overview of the application, however, if there is insufficient space, insert the comment 'see attached document' in the field. The applicant should then create a separate document containing the required information and upload the document as an attachment when lodging the PPF in eBS.

Dossier lodgement date - How to complete this information

Record the date on which the dossier will arrive at the TGA.

TGA will require dossiers for new chemical/biological entities, similar biological medicinal products, new fixed combinations and extensions of indications to be received the working day prior to the 8th of the month in which they will be processed. Unless otherwise advised, all other dossiers must be lodged, at the latest, the working day prior to the 15th day of the month in which they will be processed.

Further information

If the date proposed by the applicant is acceptable to the TGA, it will be confirmed in the *Planning letter* provided by the TGA to the applicant in response to the PPF. If the date proposed by the applicant needs to be amended, the TGA will state the reasons for the amendment in the *Planning letter*.

For applications to register:

- a new chemical entity
- a new biological entity
- a new fixed combination
- a similar biological medicinal product
- an extension of indications

the PPF is lodged 2¼ months prior to the expected lodgement date of the dossier. For other applications the PPF is lodged 2½ months prior to the expected lodgement date of the dossier.

Applicants commit in the PPF to lodging the dossier (including the completion of relevant lodgement activities in eBS, where appropriate) by the nominated application lodgement date. Applications not received by the lodgement date will be considered to have lapsed.

Approximate size of hard copy application

How to complete this information

In the space provided, record the number of volumes expected for each Module of the dossier.

Using the check boxes provided indicate whether the volumes contain double-sided pages and whether the number of volumes recorded includes individual patient data.

While it is not expected that an exact figure can be provided, the number of volumes estimated should not significantly differ from the actual number included in the dossier. Where the application differs in scope or scale from that described in the PPF and the TGA agrees to proceed with evaluation, the TGA will need to reassess resources and may need to adjust milestone dates accordingly.

Further information

Where individual patient data will not be included in the dossier, a statement about the availability of the data must be provided in Module 1.9 of the dossier.

Applicants can provide individual patient data in the electronic copy of the dossier only. See Module 1.9 in [CTD Module 1](#) for more information.

Related applications

How to complete this information

Record the submission ID numbers of related applications that are currently under evaluation in the left column. In the right column, describe the related application (including application type), and where possible the relationship to the proposed application.

Further information

Where it is not possible for the proposed application to proceed until the related application is completed, the TGA will advise the applicant in the Planning letter of a revised application lodgement date.

Applicants should defer PPF lodgement where there is a related application with the TGA whose outcome is critical to the processing and evaluation of the proposed application.

A PPF seeking a variation to a product that has not yet been registered cannot be accepted as it cannot be assumed that the application to register the product will be approved or approved for the proposed indication, strength etc. For information on concurrent applications, see Part 4.3.7 of [Prescription medicine registration process](#).

Resubmission

How to complete this information

Select this check box if the PPF relates to:

- a PPF that was lodged previously and found to be non-compliant with section 9D or section 23 of the Act
- an application that was lodged previously and found to be non-compliant with section 9D or section 23 of the Act
- an application that was previously withdrawn at any stage of the submission process
- an application that was previously rejected by the delegate.

Where the check box has been selected, provide the original submission ID.

Applicants must include in the 'Overview of application' section details on how they have addressed issues identified in the previous application.

What else do I need to do?

The *Planning letter*, issued if the TGA considers the PPF complete and acceptable, will advise if any additional actions are required of the applicant. Applicants should ensure that any and all actions are addressed.

Section 31 request response period

How to complete this information

Select the check box for the preferred response period for the consolidated section 31 request for information, should one be issued: 30 or 60 calendar days. For information on this phase of the submission process, see sections 5.3 and 5.4 of Prescription medicine registration process.

Applicants must select either 30 or 60 calendar days.

What else do I need to do?

Once the Planning letter is received confirming the milestone dates for the application, applicants should ensure they have sufficient and appropriate resources available to meet the nominated response time.

Part 2. Details of application

2.1 General information

Ingredients/proprietary ingredients

Are there any new non-proprietary ingredients, or proprietary ingredients in the application?

How to complete this information

Check if a non-proprietary ingredient is currently on the ARTG:

- go to [TGA eBusiness Services](#)
- click on 'Public TGA Information' to expand the menu item
- select 'Ingredients' from the menu
- to search the list, click the search button, enter the information to search, and click 'search'.

Check if a proprietary ingredient is currently on the ARTG:

- go to [TGA eBusiness Services](#)
- from the menu, open the twistie next to 'Public TGA Information'
- select 'Proprietary Ingredients' from the menu
- to search the list, click the search button, enter the search information, and click 'search'.

If there are any new non-proprietary ingredients (active substance(s) and excipients) or proprietary ingredients in the application, check the Y box.

For each new proprietary ingredient, confirm with the supplier that they have lodged a [notification of a proprietary ingredient](#) with the TGA.

For each new non-proprietary ingredient, complete and lodge an [application form to propose a new chemical, biological or herbal name](#) (as appropriate) with the TGA. Attach copy/copies of the TGA's acknowledgement letter(s).



Important note

Notification of a proprietary ingredient forms and applications for new chemical, biological or herbal names (for non-proprietary ingredients) must be lodged with the TGA before the PPF can be lodged.

Processing of the AAN/ABN/AHN applications will be expedited if the proposed name is registered as an international non-proprietary name (INN).

Ensure the proposed AAN, ABN, AHN and/or proprietary ingredient names are used in the dossier.

Are any of the excipients used for purposes other than that for which they are registered, for example, a new route of administration, or at an increased daily dose, or (for non-oral products) at an increased strength, compared with existing registered products?

If the other ingredients are intended to be used for a different purpose to that originally approved:

- check the 'Y' box and
- either:
 - upload an attachment containing an overview of the additional toxicology data that will be provided in the application to support the safety of the ingredient for the intended purpose, and check the relevant boxes at Part 2, Section 2.2, 2 - Summaries module and 4 - Nonclinical module to indicate which nonclinical documents are to be provided with the PPF
- or
- provide an overview of the justification to explain why new toxicological data is not required to support the change in use, at Part 2, Section 2.3 - Justifications and further Information.

Fixed combinations

Does this product contain a new fixed combination of active ingredients?

How to complete this information

For new registrations, select the appropriate box to indicate whether the proposed product(s) is a new fixed combination.

If the proposed product(s) is a new fixed combination, attach a copy of the TGA's letter advising that the justification for fixed combination is acceptable.

What else do I need to do?

If applicants are applying to register one or more products containing a new fixed combination (i.e. a fixed combination of active substances that have not previously been included in the Register as that fixed combination), they will need to lodge a justification for a fixed combination with the TGA at least two months prior to PPF lodgement.

If applicants have not lodged a justification for a new fixed combination and attached a copy of the TGA's letter advising that the justification for fixed combination is acceptable, the PPF will be found to be non-compliant with section 23 of the Act.

Further information

Fixed combination requirements do not apply to new generic medicine, new strength, or variation applications.

See section 4.3.3: Fixed combination applications of [Prescription medicine registration process](#) for further information on lodging a *justification for a fixed combination*.

Fixed combination products may be presented as composite packs (i.e. with multiple dosage forms), multiple ingredients within a single dosage form, or a combination of both.

2.2 CTD Modules 1 - 5

Module 1.1 - Comprehensive table of contents

How to complete this information

Prepare a draft comprehensive table of contents for the dossier. This must include entries for Modules 3, 4, and 5 (as applicable to the application type) and include literature references. Entries for Modules 1 and 2 may also be provided if available.

The table of contents must include entries down to the individual document level.

The CTD format specifies various locations for literature references, namely Modules 2.5.7, 2.7.5, 3.3, 4.3, and 5.4. Where any of these modules appear in the table of contents, the full bibliographic details of all the references in these modules of the dossier must be included in the table of contents. At a minimum, the following information for each literature reference must be listed in the table of contents:

- author(s)
- date
- title of article/chapter
- name of journal/book
- page numbers.

Check the Y box to indicate this draft document will be uploaded as an attachment when lodging the PPF.

Further information

This document must be either a text document or a text-searchable PDF. A scanned document is not acceptable.

Module 1.3.1 - Draft product information (PI)

Will the application result in a new or revised PI?

How to complete this information

A category 1 or category 2 application may result in the creation of either a new PI document or the revision of an existing PI document.

For applications for new registrations where a new PI document is to be provided, this may be provided in the form of an overseas document or a draft Australian PI. In either case, the proposed indications, dose form(s), dose regimen, and formulation for Australian purposes must be included as a minimum.

Where an existing PI is being modified, the changes must be clearly highlighted on the draft PI (see [CTD Module 1](#) for details).

If changes to an existing PI are currently under evaluation as a result of a separate application, applicants must identify these separately, indicating they are currently under review. In this case, the attachment must include the relevant submission ID (the number recorded at *Part 1, Section 1.4, Related applications*).

On completion, tick the appropriate check box(es) to indicate which document is being provided as an attachment.

Further information

Applications for the registration of a 'restricted medicine' must include product information documents. A 'restricted medicine' is defined by the [Restricted Medicine Specification 2011](#).

Applications for some other medicines also require the lodgement of product information documents. The delegate of the Secretary may decide under subsection 25(1)(da)(ii) of the Act that an application must include product information. If this is the case, the applicant will be advised in the Planning letter.

All product information lodged in the dossier must be provided in the form approved by the Secretary of the Department of Health and Ageing. Information about this form is provided in the [TGA guideline on Product Information](#) available from the TGA website.

Module 1.5.1 - Literature-based submissions**Is this a literature-based (bibliographic) submission (LBS) for Module 4 or Module 5?**

A literature-based submission (LBS) is an application that relies solely or partly, on bibliographic data to support the safety and efficacy claims. For further information about LBSs see the guideline [Literature-based submissions](#), available on the TGA website.

Some applications involve a dossier where Module 4 and/or 5 consist(s) of a combination of reports of limited nonclinical and/or clinical studies carried out and of bibliographical references. The TGA will treat such an application as a LBS.

If the literature search strategy and the criteria for inclusion/exclusion of papers have not been approved prior to PPF lodgement, the PPF will be considered not complete and not acceptable for evaluation.

How to complete this information

If you are preparing a LBS, then prior to lodging the PPF the TGA will need to have reviewed and approved your:

- literature search strategy, including the databases to be searched
- the criteria for determining which search results are to be included/excluded in the dossier.

On receipt of written advice from the TGA advising of acceptability of the above literature search elements, prepare the PPF, selecting the check boxes to identify which modules include literature references for evaluation. Attach copies of the TGA's advice indicating that the above elements are satisfactory.

Important note

Applicants who are lodging a literature-based submission must pay particular attention to the bibliographic requirements at *Part 2, Section 2.2, CTD Module 4 - Nonclinical module*, and *CTD Module 5 - Clinical module*.

Where the application is a literature-based submission, applicants must list all references in the Comprehensive Table of Contents. The references must also be included in the relevant sections of the 'tabular listing of all clinical studies' (Module 5.2) and 'nonclinical tabulated studies' (Module 2.6). See the information at *CTD Module 4 - Nonclinical Module*, and *CTD Module 5 - Clinical Module*, for further instruction on completing these sections.

Module 1.5.2 - Orphan drug designation

If this application is for a new register entry, has this medicinal product been designated an orphan drug for the proposed indication and dose form?

How to complete this information

Select the appropriate check box to indicate whether the medicine has been granted orphan drug designation, if relevant to the proposed application (that is, application under section 23 of the Act).

If designation has been granted and is applicable to the application being made, attach a copy of the TGA letter approving orphan drug designation.

Further information

Orphan drug designation is specific to the medicine, the dose form, and the indication(s). The application and evaluation fees will only be waived if the medicine, the dose form, and the proposed indication(s) in the application are identical to, or a subset of, those approved in the orphan drug designation.

If applicants fail to obtain orphan drug designation before lodging a PPF, they will be liable for application and evaluation fees. For further information, see section 4.3.1: Orphan drug applications of [Prescription medicine registration process](#).

Module 1.5.3 - Genetically modified organisms

Does this product contain or consist of genetically modified organisms?

Is the product derived from a genetically modified organism that is manufactured in Australia or overseas?

How to complete this information

Select the appropriate check box to indicate whether the product contains or consists of genetically modified organisms (GMO).

- If no, proceed to CTD Module 1.6 - DMF, PMF, and CEP.
- If yes:
 - Upload as an attachment a copy of any Office of the Gene Technology Regulator (OGTR) licence, acknowledgement of receipt, or other record of consent from OGTR. For further information, see Module 1.5.3: Genetically modified organisms – Consent from the Office of the Gene Technology Regulator of CTD Module 1.
 - Select the appropriate check boxes to indicate whether the product is derived from genetically modified organisms and manufactured in Australia or overseas.
 - § If the product is derived from genetically modified organisms and is manufactured in Australia, upload as an attachment, a copy of any OGTR licence, acknowledgement of receipt, or other record of consent from OGTR with the PPF; or alternatively, a declaration of exemption (see Module 1.5.3 of CTD Module 1 for more information).
 - § If the product is manufactured overseas, proceed to CTD Module 1.6 - DMF, PMF, and CEP.



Important note

A product derived from a GMO is one that contains highly purified protein(s) derived from the GMO with a negligible amount of genetic material present. Contact the TGA for further advice if required.

To determine whether your product is subject to regulation under the Gene Technology legislation [contact OGTR](#) for advice.

What else do I need to do?

If applicants are intending to apply to the TGA to use a GMO as a medicine, they are advised to consult the Office of the Gene Technology Regulator (OGTR) prior to lodging a PPF to determine their obligations under the *Gene Technology Act 2000*. Further information can be obtained from www.ogtr.gov.au.

Where a medicine contains or consists of GMOs, applicants must include in the dossier, a copy of any written consent from the OGTR for the use of the genetically modified organisms at Module 1.5.3: Genetically modified organisms – Consent from the Office of the Gene Technology Regulator.

Module 1.6-DMF, PMF and CEP

How to complete this information

This section needs to be completed for new registrations and where changes are proposed to the quality (Module 3) information for existing registrations.

If the application makes reference to a drug master file (DMF), check the 'Y' box next to 'drug master file' (DMF) and enter the TGA's file number (quoted on the TGA letter to the DMF holder confirming receipt of the DMF) in the space provided.

If the application makes reference to a Certificate of Suitability of Monographs of the European Pharmacopoeia (CEP), check the 'Y' box and enter the reference number in the space provided.

If the application makes reference to a plasma master file (PMF):

- check the 'Y' box next to 'plasma master file' (PMF)
- indicate whether the PMF has been previously approved by the TGA
- if yes, record the name of the PMF in the space provided enter the TGA's reference number (quoted on the TGA letter to the PMF holder confirming receipt of the PMF) in the space provided.

An application may make reference to multiple DMFs, PMFs and/or CEPs. Record the full details for all. If there is insufficient space, record the relevant details in a separate document and upload as an attachment when lodging the PPF. Annotate the space(s) provided in this section to refer the TGA to the appropriate document.



Important note

All DMFs and PMFs relevant to an application must be received by the TGA before the dossier is lodged. The applicant is responsible for confirming with the DMF provider(s) that all necessary documents have been lodged with the TGA. If there are delays in providing the TGA with DMF related information requested under section 31 of the Act, then the TGA will proceed with the evaluation process at the end of the section 31 response time nominated by the applicant at the time of application.

Further information

For further information on DMFs, PMFs, and CEPs, see section 4.1.7 and the TGA guideline on drug master files.

Module 1.7 - Good manufacturing practice

Will Module 3 form part of the dossier?

How to complete this information

Check the appropriate box for the inclusion of Module 3 in the dossier.

- If the application will include a Module 3, select the 'Y' box and complete the information required in the two tables for all the manufacturers in the supply chain for the product(s).
- If the application will not include a Module 3, but the application makes reference to a Module 3, DMF, or PMF provided to the TGA previously, select the 'Y' box.
- If the application will not include a Module 3 and the application does not make reference to a Module 3, DMF, or PMF provided to the TGA previously select the 'N' box.

To complete the tables, review the manufacturing sites in the supply chain for the products(s) and follow the instructions below.

For all overseas manufacturing sites:

- Enter the manufacturer's details into the overseas manufacturers table, including the TGA's GMP clearance or certification tracking number (in the format MI-YYYY-CL-NNNNN-N). Check the box to indicate GMP is 'currently cleared' or 'clearance required'.

If any of the following apply:

- no clearance currently available
- the clearance does not cover the necessary manufacturing steps
 - the applicant must lodge an application for the clearance/renewal via eBS prior to completing the PPF. Once lodged, enter the manufacturer's details into the overseas manufacturers table, including the TGA's GMP clearance tracking number, in the PPF. Check the box to indicate clearance is required.

Applicants must ensure that at the time of lodgement of the PPF all pending applications for clearance are active. An active application is one in which the appropriate application form and all relevant information (see [17th edition of Guidance on the GMP clearance of overseas medicine manufacturers](#)) have been submitted to TGA and the applicable fees paid.

For all Australian manufacturing sites:

- If there is a current TGA manufacturing licence for the manufacturing site, enter the manufacturer's details, including the TGA manufacturing licence number. Check the box to indicate it is currently approved.

If there is either:

- no licence currently available
- the licence does not cover the necessary manufacturing steps
 - ensure that the manufacturer has lodged an application for the licence. Once lodged, enter the manufacturer's details, including the TGA's GMP licence or tracking number. Check the box to indicate approval is required.

If there is insufficient space, record the relevant details in a separate document and upload the document as an attachment with the PPF. Annotate the table(s) in this section to refer the TGA to the appropriate attachment.

What else do I need to do?

Applicants should take steps prior to lodging the PPF to verify the adequacy of the manufacturer's GMP compliance. Delays in securing GMP clearance for a site due to poor compliance can result in an application being rejected at the decision phase.

Applicants are responsible for monitoring existing GMP clearances that may be due to expire prior to the decision phase. Applicants must make an application for a new GMP clearance to ensure all sites hold a licence or GMP clearance prior to the decision phase.

Further information

Clearances and applications for clearances must be for the correct sites and the appropriate manufacturing steps. For example, if a site is to be used for the manufacture of capsule dosage forms, the site must have clearance for manufacturing dosage forms for capsules, solid dosage forms, or all dosage forms.

Refer to [Appendix B](#) for important information regarding the TGA's requirements for manufacturer information, GMP licences and clearances, and timeframes for processing applications for GMP licences and clearances.

Module 1.8 - Meetings

Has written pre-submission advice been sought from TGA?

Has a pre-submission meeting been held with the TGA regarding this application?

How to complete this information

Where the applicant has held one or more scientific advice meetings and/or pre-submission meetings with the TGA, or TGA's advice about an application has been sought, the applicant should attach relevant documents (for example, copies of correspondence, meeting minutes, action items) and discuss how/when any issues identified at these meetings will be addressed.

Module 1.10.1 - Overseas regulatory status

Has there been, or is there an intention to make similar applications for market approval in any of the following regions or countries?

How to complete this information

If an application, similar to the one that is the subject of the PPF, has been made in the EU, USA, Canada, New Zealand, Singapore or Switzerland, select the 'Y' box. Complete the remaining information in the section. Otherwise, select the 'N' box.

Where applications have been submitted to agencies in the European Union, include the type of application (centralised, mutual recognition, decentralised, or national).

Refusal of market approval or withdrawal refers to an application not being accepted for evaluation, rejected after evaluation, withdrawn by applicant or otherwise found to be non-compliant. It also includes suspension or withdrawal of marketing approval by either an overseas regulatory authority or the applicant. Details must be included in the PPF. If there is insufficient space, record the relevant details in a separate document and upload the document as an attachment with the PPF.

What else do I need to do?

If there is insufficient space, record the relevant details in a separate document and upload the document as an attachment to the PPF. Annotate the table to refer the TGA to the appropriate attachment.

Module 1.13 - Pharmacovigilance

Will a risk management plan be included in the dossier?

Note: Applicants should refer to the [TGA RMP guidelines](#) to assess whether a RMP is required.

How to complete this information

Select the appropriate check box to indicate whether a [risk management plan \(RMP\)](#) will be provided with the application.

If an RMP will not be provided with the application, a justification for this must be included in the space provided:

- if an RMP is not required due to application type, this must be stated
- if the Office of Product Review (OPR) has agreed that an RMP is not required, this must be stated and details of the discussions and rationale provided. Upload as an attachment, a copy of the advice from the OPR stating that a risk management plan is not required.
- if an RMP is not being provided but has been identified in CTD Module 1 as required for the given application type, a justification must be provided for its exclusion.

Note: If an RMP is to be provided in the dossier, this should be the unaltered EU-RMP along with an [Australian Specific Annex](#). An alternative to the EU RMP is acceptable **only** if there is no current EU-RMP.

For further information see [CTD Module 1, RMP for prescription medicines, guidelines on pharmacovigilance for medicinal products for human use adopted from the EU](#) and the Questions and answers about the prescription medicines registration process.

What else do I need to do?

Applicants may need to contact the OPR for confirmation on the requirement for an RMP. Applicants should consult the reference material listed above prior to contacting OPR.

The TGA will advise the applicant in the Planning letter whether any further action is required prior to application lodgement in relation to an RMP.

Module 2 (Summaries Module)**Will Module 2 form part of the dossier?*****How to complete this information***

Confirm that Module 2 will be provided in the dossier.

Using the list provided, check 'Y' next to each section of Module 2 (or its equivalent) that will be attached to the PPF.

Where an applicant believes the requirement for a document is 'not applicable' for a particular application, a justification must be included in section 2.3 Justifications and further information.

What else do I need to do?

For information on the content of Module 2, see the Module 2 information on the [CTD guidelines](#).

Module 2 is a module that summarises the data to be provided in Modules 3, 4 and/or 5. The TGA requests, wherever possible, applicants provide a complete draft of CTD Module 2, but recognises not all applicants will have a complete Module 2 prepared at the time of PPF lodgement. As such, the TGA allows applicants to fulfil this requirement for Module 2 data by providing either:

- a complete draft of [CTD Module 2](#) (containing all the sections of Module 2 that are relevant to the application type)
- draft summaries of CTD 2.3.S, 2.3.P, 2.4, 2.5, 2.6.2 or 2.6.3, 2.6.4 or 2.6.5, 2.6.6 or 2.6.7, 2.7.1, 2.7.2, 2.7.3, 2.7.4, 2.7.6 as appropriate for the application type
- documents containing the equivalent information to the draft summaries listed in the point above.

A nonclinical overview (Module 2.4), or equivalent, will be required when:

- Module 4 information will be submitted as part of the application
- the product includes a novel excipient or involves the novel use of an excipient
- levels of impurities and degradants exceed guideline recommendations
- there is a deviation from TGA or adopted nonclinical guidelines
- there are changes to the nonclinical aspects of the Product Information
- where the application refers to Module 4 data that have been previously submitted and, for example, the applicant wishes to 'reinterpret' these studies (perhaps in the light of new data).

A clinical overview (Module 2.5), or equivalent, will be required when:

- Module 5 information will be submitted as part of the application
- the application involves a new generic medicine

- there is a deviation from TGA or adopted clinical guidelines
- there are changes to the clinical aspects of the Product Information
- where the application refers to Module 5 data that have been previously submitted and, for example, the applicant wishes to 'reinterpret' these studies (perhaps in the light of new data).

An 'equivalent' document is one that:

- may be in either draft or final version
- contains all the information specified in the relevant section of Module 2 but does not need to be in the format or structure specified by the relevant section of Module 2.

For example, an applicant's internal document used for the initial consideration of the viability of a new chemical entity product that provides all of the information required by sections 2.3.S, 2.3.P, 2.4, 2.6.2, 2.6.4, 2.6.6, 2.5, 2.7.1, 2.7.2, 2.7.3 and 2.7.4 but is presented in a different structure would be acceptable.

Important note



The TGA requests that, wherever possible, applicants provide a complete draft of Module 2. Where this is not possible, equivalent information must be provided. This information allows the TGA to arrange appropriately qualified and resourced external evaluators for the application.

A 'complete draft' of Module 2 is considered to be a draft that contains all the sections of Module 2 that are relevant to the application type. For example, for an extension of indication application where the quality information about the products is not changing, the CTD summaries 2.3.S and 2.3.P would not be provided. For more information, refer to the dossier documents matrix of [CTD Module 1](#).

Module 3 (quality module)

Will Module 3 form part of the dossier?

How to complete this information

Respond to the statement 'Module 3 will form part of dossier':

- if yes, select the 'Y' box and complete the information requested under CTD Module 3.2.S and CTD Module 3.2.P.
- if an applicant is not supplying a Module 3 with the dossier, but the application makes reference to a Module 3, DMF, or PMF provided to the TGA previously, the 'Y' box must be selected.
- if no, select the 'N' box and go to CTD Module 4 - Nonclinical Module.

Module 3.2.S - drug substance

To complete the manufacturer table in Module 3.2.S, record the details of all manufacturing sites involved with the production of the drug substance (active ingredient).

- Where there are multiple active ingredients with separate manufacturing sites, the active ingredient must be identified in the manufacturing steps field, for example, 'active ingredient manufacture for perindopril arginine'.
- It is not necessary to provide the details of excipient manufacturers, except where the excipient plays a role in the delivery of the active ingredient, for example, serum albumin being used as a carrier of the active ingredient.

Module 3.2.P - drug product

To complete the manufacturer table in Module 3.2.P, record the details of all manufacturing sites involved with the production of the drug product.

Where the application covers multiple dosage forms or components with different manufacturing sites, this must be identified in the manufacturing steps field, for example, 'manufacture of dosage form for tablet'.

It is not necessary to provide the details of excipient manufacturers, except where the excipient plays a role in the delivery of the active ingredient.

To complete the remaining information under Module 3.2.P, follow the information provided on the PPF.

What else do I need to do?

If there is insufficient space in either table at 3.2.S or 3.2.P, insert the comment 'see attached document' into the first row. Create a separate document to record the required information and upload as an attachment with the PPF in eBS.

All manufacturers listed at Part 2, Section 2.2, CTD Module 1.7 - Good manufacturing practice, must be included in CTD Module 3.2.S and CTD Module 3.2.P. It is possible, however that some manufacturing sites included in Modules 3.2.S and/or 3.2.P are not included at Module 1.7 as their role is not considered to be sufficiently significant to warrant GMP clearance. Refer to Appendix B for information on the TGA's requirements for manufacturer information, GMP licences and clearances, and timeframes for processing applications for GMP licences and clearances.

Module 4 (nonclinical module)

Will Module 4 form part of the dossier?

How to complete this information

If the applicant either:

- indicated in Section 1.4 (Submission planning) that Module 4 information is to be supplied
- intends to refer in the application to Module 4 information provided to the TGA previously

select this box to indicate that Module 4 will form part of the dossier and answer the remaining questions in the section. Otherwise, go to CTD Module 5 - Clinical Module.

Are literature references (Module 4.3) to be included in the dossier?***How to complete this information***

Confirm whether literature references are to be supplied as part of Module 4. If references are to be evaluated, they must be included in the 'Listing of nonclinical studies' as described in the Module 2 section.

Indicate the number of literature references included in the dossier in relation to Module 4.

Ensure the bibliographic details of all literature references are included in the comprehensive table of contents (see Module 1.1). The following information must be provided in Module 1.1, at a minimum:

- author(s)
- date
- title of article/chapter
- name of journal/book
- page numbers.

Module 5 (clinical module)**Will Module 5 form part of the dossier?*****How to complete this information***

If the applicant either:

- indicated in Section 1.4 (Submission planning) that Module 5 information is to be supplied
- intends to refer in the application to Module 5 information provided to the TGA previously

select the box to indicate that Module 5 will form part of the dossier and answer the remaining questions in the section. Otherwise, go to Part 2.3 - Justifications and further information.

Tabular listing of clinical studies***How to complete this information***

Attach CTD Module 5.2 which is a tabular listing of clinical studies to be evaluated.

Module 5.2 is to include only those studies that will form part of the dossier. It must not include a listing of all studies performed with the product/indication.

If this is a literature-based submission, the listing of clinical data must include all literature references to be evaluated by the TGA should be included in Module 5.2, including the following details:

- author(s)
- date
- title of article/chapter
- name of journal/book
- page numbers.

Studies/literature references which are not primary studies to be evaluated by the TGA but which are provided as references must be included in 'Literature references' (Module 5.4).

For literature-based submissions, refer to the specific instructions on the PPF for the inclusion of references.

Are literature references (Module 5.4) to be included in the dossier?

How to complete this information

Confirm whether Module 5.4 will be supplied as part of the dossier. In this instance, literature references are not primary data to be evaluated by the TGA. If references are to be evaluated as primary data, they must be included in the 'Tabular listing of clinical studies' above.

Indicate the number of literature references included in the dossier.

Ensure the bibliographic details of all literature references are included in the comprehensive table of contents (see Module 1.1). The following information must be provided in Module 1.1, at a minimum:

- author(s)
- date
- title of article/chapter
- name of journal/book
- page numbers.

2.3 Justifications and further information

Justification for not providing appropriate biopharmaceutic and/or bioavailability data

How to complete this information

Consider the biopharmaceutic and/or bioavailability data to be provided in the dossier and assess whether it meets the requirements identified in the TGA guideline [Biopharmaceutical studies](#) and any [EU guidelines adopted by the TGA](#) that relate to biopharmaceutic studies.

Where the data does not meet the requirements set out in these documents, the application must include an appropriate ('robust scientific') justification that addresses the information in the TGA guideline [Biopharmaceutical studies](#) and the [EU guidelines](#). Where there are multiple guidelines/requirements in TGA guideline [Biopharmaceutical studies](#) and/or relevant [EU guidelines](#) that have not been met, applicants will need to provide a justification for not meeting each one.

Where a justification for not providing biopharmaceutic data (or not providing data for all products) is required, the justification must address, as a minimum, the points set out in the TGA guideline [Biopharmaceutical studies](#).

Applicants must note meeting the EU guidelines alone is not sufficient.

Using the space provided in the PPF, provide an overview of the justification(s) that will be provided in the application in relation to biopharmaceutic and/or bioavailability studies. Although an overview, the applicant must address all criteria mentioned in relevant guidelines.

If there is insufficient space, record the relevant details in a separate document and upload the document as an attachment with the PPF. Annotate the field to refer TGA staff to the appropriate attachment.

What else do I need to do?

Confirm that the mandatory requirements relevant to your application set out in the Mandatory requirements for an effective application have been met.

Important note

To be considered effective, the application must meet the requirements set out in [Mandatory requirements for an effective application](#) and other relevant regulatory and supporting documents.

In considering the dossier, the TGA will assess whether the justification provided for not meeting a relevant guideline is a robust scientific justification. A robust scientific justification is one that:

- clearly identifies the guideline or part of the guideline that the applicant is proposing not to meet
- specifically addresses why the guideline is not being met
- is based on contemporary scientific evidence

includes citations to the relevant reference documents, including TGA documents, where appropriate.



Justification for not meeting other guidelines

How to complete this information

Consider the remaining (i.e. non-biopharmaceutical) data to be provided in the dossier. Where the data does not meet applicable [adopted EU guidelines](#) or a [TGA guideline](#), the application must include an appropriate (robust scientific) justification that takes account of the requirements of the relevant guideline. Where there are multiple guidelines/requirements that have not been met, applicants will need to provide a justification for not meeting each one.

Using the space provided in the PPF, provide an overview of the justification(s) to be provided in the application.

If there is insufficient space, record the relevant details in a separate document and upload it as an attachment when lodging the PPF. Annotate the field to refer TGA staff to the appropriate attachment.

Further information

How to complete this information

Consider the data to be included in the dossier. Use the space provided to tell the TGA any further information that:

- is relevant to the TGA's consideration of the PPF that has not been recorded elsewhere in the form
- may be relevant to the TGA's planning and scheduling of evaluation resources for the application.

If there is insufficient space, record the relevant details in a separate document and upload the document as an attachment when lodging the PPF. Annotate the field to refer TGA staff to the appropriate attachment.

Information not relevant to the TGA's determination of the scope and scale of the dossier must not be recorded in this space.

2.4 Summary of attachments

This list is for the benefit of the applicant to ensure all important attachments are included with the PPF.

Part 3. Declaration

How to complete this information

Read the statements and conditions. Check the corresponding box. A PPF cannot be accepted unless the applicant agrees to all the statements/conditions.

Complete the remaining fields.

Applicants are strongly advised not to lodge a PPF before the full extent of the supporting data necessary for the application to be evaluated is known to be available. In submitting a PPF, the applicant declares that it understands and agrees to comply with the TGA's requirements for an effective application and TGA's policy concerning unsolicited information. Applicants must ensure that their dossier will contain the full data set that they wish the TGA to evaluate and that the mandatory requirements (as applicable to the nature of the medicine and application type) are met.

What else do I need to do?

The TGA will advise the applicant, in writing, if any further action is required.

Appendix A - Completing the product details table

This appendix applies to *Part 1, Section 1.3, Product table*.

Variations

Where applicants are seeking a variation to an existing registration, an AUST R number must be included.

Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
123456	Amoxicillin (as trihydrate)	Cillin-X	250mg	capsule	blister pack
123457	Amoxicillin (as trihydrate)	Cillin-X	500mg	capsule	blister pack

Not Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)	Cillin-X	250mg and 500mg	capsule	blister packs

Where an application seeks variations to existing registrations and new registrations, the AUST R number must be included for the existing registrations. An empty AUST R field indicates a new registration.

Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
123456	Amoxicillin (as trihydrate)	Cillin-X	250mg	capsule	blister pack
	Amoxicillin (as trihydrate)	Cillin-X	1g	Powder for injection	Vial

Not Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)	Cillin-X	250mg	capsule	blister packs
	Amoxicillin (as trihydrate)	Cillin-X	1g	Powder for injection	Vial

Multiple products

For new registrations, some products may be combined into a single line where all details but one are common.

Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)	[tradenname A]	250 mg	capsule	blister packs and bottles
	Amoxicillin (as trihydrate)	[tradenname B]	500 mg	capsule	blister pack
	Amoxicillin (as trihydrate)	[tradenname C]	500 mg	capsule	blister pack

Not Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)	[tradenname A]/ [tradenname B]/ [tradenname C]	250 mg / 500 mg	capsule	blister packs and bottles

Multi-ingredient products

Where there are multiple active ingredients, the active ingredient amounts must be recorded in the same order in which they are listed in the table.

Acceptable

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)/ Clavulanic Acid	[tradenam e A]	250 mg/ 125 mg	capsule	blister packs and bottles
	Amoxicillin (as trihydrate)/ Clavulanic Acid	[tradenam e B]	500 mg/ 125 mg	capsule	blister pack

Not Acceptable (ingredients and strengths in different order)

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Amoxicillin (as trihydrate)/ Clavulanic Acid	[tradenam e A]	125 mg /250 mg	capsule	blister packs and bottles
	Amoxicillin (as trihydrate)/ Clavulanic Acid	[tradenam e B]	500 mg/ 125 mg	capsule	blister pack

Multi-component products

Multi-component products can be recorded in a number of ways. Each method requires that the components are clearly identified in the table.

For example, a mixture of single and multiple component products containing the same active ingredients can be recorded as follows:

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Somatropin	[tradenam e]	10 mg	powder for injection	vial
	Somatropin	[tradenam e]	1 – 10 mg 2 – 2 mL	1- powder for injection 2 - diluent	1 – vial 2 - syringe
	Somatropin	[tradenam e]	1 – 20 mg 2 – 4 mL	1 - powder for injection 2 - diluent	1 – vial 2 – ampoule

For a multi-active, multi-component product, details can be recorded as follows:

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Ethinyl oestradiol/ levonorgestrel	[tradenam e] – component 1	0.03 mg/ 0.125 mg	tablet	blister pack
	Ethinyl oestradiol/ levonorgestrel	[tradenam e] – component 2	0.03 mg/ 0.05 mg	tablet	blister pack
	Ethinyl oestradiol/ levonorgestrel	[tradenam e] – component 3	0.04 mg/ 0.075 mg	tablet	blister pack
	placebo	[tradenam e] – component 4	N/A	tablet	blister pack

Or, where there is more than one product proposed:

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Ethinyl oestradiol/ levonorgestrel	[tradenam e] (28 day)	1 - 0.03 mg/0.125 mg 2 - 0.03 mg/0.05 mg 3 - 0.04 mg/0.075 mg 4 - 0/0 (placebo)	1 – tablet 2 – tablet 3 – tablet 4 - tablet	blister pack
	Ethinyl oestradiol/ levonorgestrel	[tradenam e] (21 day)	1 - 0.03 mg/0.125 mg 2 - 0.03 mg/0.05 mg 3 - 0.04 mg/0.075 mg	1 – tablet 2 – tablet 3 - tablet	blister pack

For a multi-component product with different actives in different components:

AUST R	Active	Trade name	Strength	Dosage form	Pack
	Risedronate sodium / calcium carbonate	[tradenam e]	1 - 35 mg risedronate sodium 2 - 2500 mg calcium carbonate	1 - tablet 2 - tablet	blister pack

Appendix B - Advice to applicants on manufacturing sites

Where Module 3 information will form part of the application, or the application makes reference to a previously submitted Module 3, DMF or PMF, applicants must provide detailed information in the PPF about manufacturing sites.

How much information is required?

The PPF must identify all Australian and overseas manufacturers involved in the supply chain of the medicine to the point of batch release to the Australian market.

Details of all manufacturers directly involved in the production of the substance or medicines are provided by the applicant in *Part 2: Modules 1.7, 3.2.S* (substance) and *3.2.P* (product) of the PPF. Applicants must provide the actual details in the PPF. Applicants cannot complete this question by referring to information that will subsequently be provided in Module 3 of the application.

Information not required

The TGA does not regulate the distribution of therapeutic goods. Details of companies involved in activities after batch release are not required (for example, those that undertake stability testing of the finished product).

Similarly, manufacturers of simple active ingredients as the only identifiable 'active ingredient(s)' in a product (which are salts or sugars, or other substances generally regarded as excipients), and that meet the requirements of a major pharmacopoeia, need not be included.

Good manufacturing practice requirements

Manufacturers conducting steps of production pivotal to the safety and efficacy of a final medicine must hold TGA approval for the specific steps of the manufacturing process they undertake. TGA approval is provided on the basis of evidence the manufacturer complies with the [Code of Good Manufacturing Practice \(GMP\)](#).

Applicants identify at *Part 2, Modules 1.7, Good manufacturing practice* of the PPF, the subset of manufacturers (from the total identified in *CTD Module 3.2.S* and *CTD Module 3.2.P*) for whom GMP approval (a valid licence or GMP clearance) must be held at the time of the delegate's decision on the application.

GMP clearance is required for sites that:

- manufacture a sterile active ingredient if there is no subsequent sterilisation step
- manufacture and sterilise sterile syringes
- manufacture and sterilise large volume parenteral infusion bags.

Applicants should consider expiry dates of GMP clearance and timeframes for conduct of an overseas audit if relevant, to ensure manufacturers have GMP clearance at the time of the delegate's decision.

Applicants will be advised if a manufacturer identified in *CTD Module 3.2.S* or *CTD Module 3.2.P* (but not *CTD Module 1.7*) requires GMP approval.

Decisions on whether GMP approval for a particular manufacturer is required can be complex. In general, prior category 1 and category 2 applications processed by the TGA can be used as a guide to which manufacturers (and manufacturing activities) will require GMP approval.

Manufacturers involved in the supply chain that do not require GMP approval must still operate to a standard that ensures the integrity of the final medicine. The responsibility for ensuring the soundness of operational arrangements rests with the applicant.

Meeting the manufacturing regulatory requirements

A PPF will be considered non-compliant with section 23 of the Act, the legislative instruments issued under section 23 of the Act and the regulatory documents specified in the legislative instruments if the following are not addressed:

- key manufacturers are not listed in CTD Modules 1.7, 3.2.S or 3.2.P
- details of TGA-issued GMP licence, clearance or tracking numbers are not provided in CTD Module 1.7
- the range of manufacturing steps covered in the list of manufacturers identified in CTD Module 1.7 fails to cover the necessary steps in manufacture of the drug substance, the drug product (medicine), packaging, labelling, and release of the medicine
- MIS tracking numbers provided for applications are in either draft or submitted status. Applications cited in the PPF must have been submitted and the appropriate fees paid before the PPF is lodged. Draft status means the details have been entered in eBS but the applicant has not pressed the 'lodge' button allowing the TGA to begin processing. Submitted status means the applications have been lodged but the relevant fees have not been paid.

Forward preparation for the delegate's decision

At the time of the delegate's decision on an application all:

- Australian manufacturer(s) involved must hold a valid licence for the relevant production steps
- overseas manufacturer(s) involved must hold a valid GMP clearance for relevant production steps.

Applicants must take appropriate action prior to lodging their PPF to ensure all approvals for manufacturers are in place by the time of the delegate's decision. This is particularly important where the manufacturing site requires initial licensing or certification through a TGA audit.

Timeframes for TGA manufacturer approval

- For Australian sites, the TGA will usually schedule a licensing audit within three months of receiving a valid application. Where no GMP compliance issues are identified, a licence will usually be issued around 30 days following the issue of the audit report.
- Where an overseas site is located in a country with which Australia has a mutual recognition agreement (MRA), a GMP clearance will typically be processed within one

month. However, delays can be encountered if clarification is required from the overseas regulatory agency issuing the certification.

- Where an overseas site is eligible for a compliance verification (desktop) assessment, a GMP clearance will typically be processed within three months. Additional processing time will be required if the application data is incomplete or further information is required to decide the clearance application (refer to the [17th edition of Guidance on the GMP clearance of overseas medicine manufacturers](#)).
- Where a site requires an initial certification audit, the TGA will typically schedule the audit within six to nine months of application. A minimum of a further three months is required to issue the audit report, assess responses, and process a GMP clearance. Significantly more time may be involved if the manufacturer has poor GMP compliance or is slow in responding to the audit report.

Applicant responsibilities

- Applicants should take steps prior to lodging the PPF to verify the adequacy of the manufacturer's GMP compliance. Delays in securing GMP clearance for a site due to poor compliance can result in the application being rejected by the delegate.
- Applicants must monitor existing GMP clearances that may be due to expire prior to the delegate's decision. Applicants must make an application for a new GMP clearance to ensure all sites hold a licence or GMP clearance prior to the delegate's decision.

Forced change of manufacturer

Circumstances beyond the control of the applicant may lead to an unanticipated need to alter the manufacturing arrangements identified in the PPF. Should such circumstances arise and force the applicant to alter manufacturing arrangements, the applicant must write to the TGA, providing a detailed explanation of the new manufacturing arrangements and the reason for the change. This will be considered on a case by case basis.

Version history

Version	Description of change	Author	Effective date
V1.0	Original publication	OPM	10/2010
V2.0	Second version: alignment with revised PPF, editorial changes.	OPM	05/2013
V2.1	Alignment with revised PPF, editorial changes.	OPM	04/2014

Therapeutic Goods Administration

PO Box 100 Woden ACT 2606 Australia
Email: info@tga.gov.au Phone: 1800 020 653 Fax: 02 6203 1605
<https://www.tga.gov.au>

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