PSB/PED Notification No. 0820-2
August 20, 2024

To: Directors of Prefectural Health Departments (Bureaus)

Director of Pharmaceutical Evaluation Division, Pharmaceutical Safety Bureau, Ministry of Health, Labour and Welfare
(Official seal omitted)

Partial Revision of "Handling of Notifications, etc. of Clinical Trial Plans for Drugs by Persons Who Intend to Be Sponsor-investigators"

Handling of notifications, etc. of clinical trial plans for drugs by persons who intend to be sponsor-investigators has been shown in "Handling of Notifications, etc. of Clinical Trial Plans for Drugs by Persons Who Intend to Be Sponsor-investigators" (PSEHB/PED Notification No. 0831-11 of the Pharmaceutical Evaluation Division, Pharmaceutical Safety and Environmental Health Bureau, Ministry of Health, Labour and Welfare, dated August 31, 2020; hereinafter referred to as the "Director Notification"), etc.

We have recently changed part of the handling of the notifications of clinical trial plans in the Director Notification as follows. Please inform related businesses and medical institutions, etc. under your jurisdiction of the change. The revised Director Notification is shown in the attachment.

Please note that a copy of this notification will be sent to the related organizations in the attached list, Pharmaceuticals and Medical Devices Agency, and each regional bureau of Health and Welfare.

Note

Corresponding part	New	Old
Attachment 1, 5. (4)	(4) Information on quantity of study drugs, study device equivalents, and study product equivalents State, etc. the planned quantity of study drugs to be obtained at the medical institution by type (dosage form and strength). Appropriate quantity should be obtained in consideration of the dosage and administration and the planned number of subjects. However, for study drugs such as rescue drugs the appropriate quantity of which is difficult to predict, it is acceptable to state, etc. the quantity assumed based on the planned number of subjects. In the clinical trial completion notification or clinical trial discontinuation notification, state, etc. the quantity of the study drugs actually obtained, used, collected, and discarded by type (dosage form and strength). When allocation is performed by set in double-blind studies, etc., it is acceptable to show the quantity allocated per set in a footnote and state, etc. the number of sets. If there is any change in the quantity of supplied study drugs in association with the conduct of the clinical trial, a notification of change related to the item concerned is not necessary, in principle. In the clinical trial completion notification or clinical trial discontinuation notification for a double-blind study, etc., the total quantity of the test drug and the comparator may be entered as the quantity of supplied (obtained), used, collected, and discarded assigned study drugs. However, if there is any doubt about the quantity entered, the sponsor may be asked to report the detailed quantity for each study drug.	(4) Information on quantity of study drugs, study device equivalents, and study product equivalents State, etc. the planned quantity of study drugs to be obtained at the medical institution by type (dosage form and strength). Appropriate quantity should be obtained in consideration of the dosage and administration and the planned number of subjects. However, for study drugs such as rescue drugs the appropriate quantity of which is difficult to predict, it is acceptable to state, etc. the quantity assumed based on the planned number of subjects. In the clinical trial completion notification or clinical trial discontinuation notification, state, etc. the quantity of the study drugs actually obtained, used, collected, and discarded by type (dosage form and strength). When allocation is performed by set in double-blind studies, etc., it is acceptable to show the quantity allocated per set in a footnote and state, etc. the number of sets. If there is any change in the quantity of supplied study drugs in association with the conduct of the clinical trial, a notification of change related to the item concerned is not necessary, in principle.

End of Document

List

Federation of Pharmaceutical Manufacturers' Associations of JAPAN
Japan Pharmaceutical Manufacturers Association (JPMA)
Japan-Based Executive Committee, Pharmaceutical Research and Manufacturers of America
European Federation of Pharmaceutical Industries and Associations
Japan Medical Association
Japan Dental Association
Japan Pharmaceutical Association
Japanese Society of Hospital Pharmacists
Japanese Nursing Association
Japan CRO Association
Japan Association of Site Management Organizations
Japan Hospital Association
All Japan Hospital Association
Association of Japanese Healthcare Corporations
Japan Psychiatric Hospitals Association
Japan Municipal Hospital Association
Welfare Division, Local Public Service Personnel Department, Local Administration Bureau, Ministry of Internal Affairs and Communications
Medical Education Division, Higher Education Bureau, Ministry of Education, Culture, Sports, Science and Technology
Health and Medical Division, Bureau of Personnel and Education, Ministry of Defense
Hospitals Management Department, Business Division, JAPAN POST HOLDINGS Co., Ltd.
National Federation of Health Insurance Societies
Federation of National Public Service Personnel Mutual Aid Associations
Seamen's Insurance Association
Japan National Health Insurance Clinics and Hospitals Association
National Welfare Federation of Agricultural Cooperatives
Japanese Red Cross Society
Japan Organization of Occupational Health and Safety
National Hospital Organization
Japan Community Healthcare Organization

Attachment

PSEHB/PED Notification No. 0831-11
August 31, 2020
[Partially revised] August 31, 2022
[Partially revised] March 30, 2023
[Partially revised] March 29, 2024
[Partially revised] August 20, 2024

To: Directors of Prefectural Health Departments (Bureaus)

Director of Pharmaceutical Evaluation Division,
Pharmaceutical Safety and Environmental Health
Bureau, Ministry of Health, Labour and Welfare
(Official seal omitted)

Handling of Notifications, etc. of Clinical Trial Plans for Drugs by Persons Who Intend to Be Sponsor-investigators

The subject matter in the title has been handled in accordance with "Partial Enforcement of the Act for Partial Revision of the Pharmaceutical Affairs Act and the Act on Blood Collection and Donation Services Control Act" (PFSB Notification No. 0515017 of the Pharmaceutical and Food Safety Bureau, Ministry of Health, Labour and Welfare, dated May 15, 2003; hereinafter referred to as the "Director-General Notification"), "Handling of Notifications, etc. of Clinical Trial Plans for Drugs by Persons Who Intend to Be Sponsor-investigators" (PFSB/ELD Notification No. 0531-4 of the Evaluation and Licensing Division, Pharmaceutical and Food Safety Bureau, Ministry of Health, Labour and Welfare, dated May 31, 2013; hereinafter referred to as "Director Notification"), etc.

With the enforcement of the Ministerial Ordinance on the Development of Related Ministerial Ordinances in Accordance with Enforcement of the Act Partially Amending the Act on Securing Quality, Efficacy and Safety of Products Including Pharmaceuticals and Medical Devices (Ordinance No. 155 of the Ministry of Health, Labour and Welfare in 2020), we have recently partially changed the handling of the notification of clinical trial plans as follows. Please inform related businesses and medical institutions, etc. under your jurisdiction of the change.

The Director Notification will be abolished on August 31, 2022 and no longer in effect on or after September 1, 2022.

Note

1. Notification of clinical trial plans, etc.

(1) The person who intends to be a sponsor-investigator must notify the Pharmaceuticals and Medical Devices Agency (hereinafter referred to as "PMDA") of plans of clinical trials on the test drugs specified in the Director-General Notification, III, (2), A, [1] in accordance with the provisions of Article 80-2, Paragraph 2 and Article 80-3, Paragraph 4 of the Act on Securing Quality, Efficacy and Safety of Products Including Pharmaceuticals and Medical Devices (Act No. 145 of 1960; hereinafter referred to as "PMD Act") and Article 268 of the Regulation for Enforcement of the Act on Securing Quality, Efficacy and Safety of Products Including Pharmaceuticals and Medical Devices (Ministry of Health and Welfare Ordinance No. 1 of 1961; hereinafter referred to as the "Regulation").

In principle, notifications of clinical trials, etc. shall be submitted for each protocol regardless of the number of test drugs.

(2) The terms in Article 269 of the Regulation are defined as follows.

[1] Test drug*

A test drug is a drug that is investigated in a clinical trial, and the application for marketing approval of the drug concerned based on the results of the clinical trial is intended. A main test drug refers to the test drug when there is one test drug at the time of the clinical trial notification. When there are multiple test drugs, it refers to one test drug selected by the sponsor-investigator.

The medical devices and regenerative medical products for which marketing approval application based on the results of the clinical trial concerned is intended (hereinafter referred to as "test device equivalent" and "test product equivalent," respectively) shall be handled in the same manner as "test drugs" in this notification.

*: This includes the main test drug and other drugs requiring application for marketing approval even if they are concomitant drugs, etc., among those stated in the clinical trial notification.

[2] Study drug

A study drug is a test drug, comparator, concomitant drug, rescue drug, pretreatment drug, etc. specified in the protocol to be used for evaluation of the efficacy and safety of the test drug. A study drug can be used regardless of whether its active ingredient has been approved in Japan or overseas.

The medical devices and regenerative medical products specified in the protocol to be used for the evaluation of efficacy and safety of the test drug (hereinafter referred to as "study device equivalent" and "study product equivalent," respectively) shall be handled in the same manner as "study drugs" in this notification.

(3) In a multicenter clinical trial, a representative notifier shall, in principle, make arrangements with each medical institution before submitting a clinical trial notification. In this case, only the representative notifier can be specified in the

notifier column, and it is not necessary to enter the investigator. If there are special circumstances in which the coordinating investigator cannot submit the clinical trial notification as a representative, each investigator shall submit the notification by entering a statement indicating that the trial is a multicenter study in the remarks column.

(4) If the notifier of a clinical trial plan has changed matters related to the notification stated in (1) above pursuant to the provisions of Article 270 of the Regulation, or if the notifier has completed or discontinued the clinical trial related to the notification stated in (1) above, the notifier shall notify PMDA of the content, reason, etc.

(5) The notification shall be submitted according to the following method. Attached Forms 1 and 2 of this notification should be used.

[1] Online submission using the electronic application data system

PDF files (it is desirable to also submit XML files) should be submitted using the electronic application data system.

[2] Submission at the reception/by postal mail

PDF files (it is desirable to also submit XML files) should be submitted by saving them in CD-R or DVD-R (hereinafter referred to as "electronic media").

In the submission method in [1], the notification submitted to PMDA and the receipt e-mail from PMDA shall be retained as clinical trial-related documents.

In the submission method in [2], submit two copies of the first page of the notification (containing at least the following items; the test substance identification code of the main test drug, classification of notification, number of notifications submitted, and number of changes) as paper documents. One of the copies of the first page of the notification will be returned to the clinical trial notifier with PMDA's receipt stamp. Retain this copy with a copy of the notification submitted to PMDA as clinical trial-related documents.

(6) Refer to Attachment 1 for details of the notification items for clinical trial notifications, etc., Attachment 2 for the input format for electronic media, and Attachment 3 for the structural definition (schema) of XML documents.

Electronic files such as the structural definition (schema) of XML documents are available on the PMDA website (https://www.pmda.go.jp/).

(7) The timing of notification shall be as follows, in principle, depending on the type of notification.

[1] Clinical trial notification (Attached Form 1 of this notification)

A If the clinical trial plan in the notification concerned is subject to a 30-day investigation, the notification must be submitted at least 30 days before the scheduled date of obtaining investigational products from the investigational product provider or the scheduled date of implementation of the clinical trial. The investigational products must not be obtained from the investigational product provider or the clinical trial must not be conducted unless 30 days have passed since the date of the notification.

B If the clinical trial plan related to the notification concerned corresponds to a microdose clinical study defined in the "Guidance on Nonclinical Safety Studies for the Conduct of Human Clinical Trials and Marketing Authorization for Pharmaceuticals" (PFSB/ELD Notification No. 0219-4 of the Evaluation and Licensing Division, Pharmaceutical and Food Safety Bureau, Ministry of Health, Labour and Welfare, dated February 19, 2010), the notification must be submitted at least approximately 30 days before the scheduled date of conclusion of the contract with the medical institution, and the clinical trial plan related to the test drug concerned submitted for the first time after the microdose clinical study will be subject to a 30-day investigation.

C For clinical trials using drugs that have the same active ingredient and route of administration as those of the drugs listed in the Japanese Pharmacopoeia and drugs for which marketing approval (including overseas marketing approval, etc.) has already been granted (hereinafter referred to as "approved drugs, etc."), but have a new dosage form established for the purpose of enabling a different dosage regimen, etc. by a pharmaceutical change such as conversion into an extended-release formulation through, for example, application of nanotechnology, and are assumed to differ greatly in distribution of the active ingredient in the body or its transfer to the target sites based on the formulation which involves, for example, capsuling the active ingredient, the clinical trial plans shall be submitted in a manner similar to A above.

D The clinical trial notifications other than the above A to C should be submitted at least approximately 2 weeks before the scheduled date of obtaining investigational products from the investigational product provider or the scheduled date of implementation of the clinical trial concerned. However, if the clinical trial plan related to the notification corresponds to a Phase I study, etc., it is desirable to consult PMDA about the timing of notification in advance.

[2] Notification of changes in clinical trial plans (Attached Form 1 of this notification)

A Any change in clinical trial plan notifications should be notified in advance for each clinical trial plan notification, in principle.

B If a test drug subject to a 30-day investigation is added to the notification, the notification of the addition shall be submitted at least 30 days before the implementation of the clinical trial according to the protocol with the added test drug concerned.

C If a test drug not subject to a 30-day investigation or a study drug for which safety information has not been sufficiently accumulated in Japan (excluding test drugs) is added, the notification of the addition shall be submitted about 2 weeks before the implementation of the clinical trial according to the protocol with the added test drug or study drug (excluding test drugs). If the objective or the target disease is changed, the notification of the change must be submitted about 2 weeks before the implementation of the clinical trial according to the protocol with the changed objective or target disease.

D The notification of the following matters may be made collectively in about 6

months after the change.

If a clinical trial completion notification or clinical trial discontinuation notification is submitted before 6 months pass after the last notification of changes in clinical trial plans, it is acceptable to enter any changes occurring up to that point in the clinical trial completion notification or clinical trial discontinuation notification as a means of notification.

- A change in the name, address, and vendor code of the manufacturing site or sales office that does not change the actual condition
- A change in the notation of the non-proprietary name associated with revision of the Japanese Pharmacopoeia and a change in the ingredients and contents that does not change the actual condition such as determination of JAN
- A change in manufacturing method that does not change the actual condition such as a change of only the name of the manufacturer in an exporting country and a change of the brand name in an exporting country
- A change in the name and affiliation of a coordinating investigator
- Deletion and change in the name, affiliated organization, and affiliation of a member physician of the coordinating committee
- A change, addition, and deletion of the name, address, and scope of entrusted operations of a party entrusted with the entire or partial preparation and management of the conduct of the clinical trial (Contract Research Organization [CRO])
- A change in the name and address of the clinical trial notifier
- A change, addition, and deletion of the name, affiliation, phone number, and fax number or e-mail address of the person in charge of notification (a system should be established so that the person in charge after the change can be contacted)
- A change of the name, clinical department, address, and main phone number of the medical institution
- A change of the name of investigator
- A change, addition, and deletion of the name, address, and scope of entrusted operations of a party entrusted with a part of operations related to the conduct of the clinical trial (Site Management Organization [SMO]) by the medical institution
- A change, addition, and deletion of the name and address of the founder of the IRB

E It is desirable to periodically review the notification items of the clinical trial approximately once every half a year after the date of notification in order to confirm the necessity of update.

F Any change of the representative notifier requires a new notification, not a notification of changes in clinical trial plans (excluding changes in the affiliated organization of the representative notifier).

If an investigator is added or deleted after the representative notifier submits the notification for a multicenter clinical trial, it is acceptable for the representative notifier to submit a notification of changes in clinical trial plans. When multiple clinical trial notification have been jointly submitted by

investigators, if a representative notifier is newly appointed, collect the notifications into one consolidated clinical trial notification and a new investigator is to be added, it is sufficient to submit a notification of changes in clinical trial plans. However, note that the clinical trial notification shall be considered to have been submitted when the notification of changes in clinical trial plans concerned is submitted, only if the matters specified in Article 269, Paragraph 1 of the Regulation (limited to the matters not stated in the notification of changes in clinical trial plans concerned) are the same as those in the clinical trial plan of the multicenter clinical trial concerned that has already been submitted.

G The following matters do not need to be reported in notifications of changes in clinical trial plan, but may be reported collectively in a clinical trial completion notification or clinical trial discontinuation notification.

- A change in the planned quantity of study drugs to be delivered (obtained) and the planned number of subjects
- A change, addition, and deletion of the name of a subinvestigator (However, the names of all subinvestigators including those who are no longer subinvestigators should be reported; for a change in the name of a subinvestigator during the clinical trial, it is sufficient to report the name after the change.)

The information on subinvestigators should be appropriately managed so that it can be submitted if submission is requested during the clinical trial.

[3] Clinical trial discontinuation notification (Attached Form 1 of this notification)

Clinical trial discontinuation notification shall be submitted without delay for each clinical trial notification whenever the clinical trial is discontinued.

[4] Clinical trial completion notification (Attached Form 1 of this notification)

Clinical trial completion notification shall be submitted without delay for each clinical trial notification whenever the clinical trial is completed.

If a representative notifier submits a notification for a multicenter clinical trial, it is acceptable to submit a clinical trial completion notification when the clinical trial is completed at all medical institutions.

[5] If a clinical trial notification is submitted within 30 days after the start of an urgently conducted clinical trial specified in the Director-General Notification, III, (2), A, [3], the first report should be made to the Pharmaceutical Evaluation Division, Pharmaceutical Safety Bureau by the start date of the clinical trial using Attached Form 1 of this notification.

If there is any change before the submission of the clinical trial notification, it should be reported appropriately.

(8) Submission data shall be as follows, in principle, depending on the type of notification.

[1] Clinical trial notification

A Data to be attached to a notification subject to a 30-day investigation shall be as follows.

- Document stating the reason why the conduct of the clinical trial concerned is scientifically justified

- Protocol
- Written information and informed consent form used for informed consent (If those with the same contents are used at each medical institution in a multicenter clinical trial, one of them may be attached.)
- Sample case report form (If the items to be entered in the case report form are clearly shown in the protocol, the submission is not required.)
- Latest Investigator's Brochure (However, in cases where a person who intends to be a sponsor-investigator cannot obtain the Investigator's Brochure from the investigational product provider, it is acceptable to attach the documents describing the latest scientific findings regarding the test drug concerned [package insert, interview form, academic papers, etc.] instead of the Investigator's Brochures of the test drug concerned, only if the person who intends to be a sponsor-investigator considers that the safety of the test drug can be ensured when it is used in the clinical trial. When submitting academic papers, etc., a document summarizing them should also be attached. They can be in English as well if a Japanese summary of the items necessary for the conduct, etc. of the clinical trial is attached.)
- Documents describing the latest scientific findings related to the study drugs other than the test drug (package inserts, interview forms, academic papers, etc.). When submitting academic papers, etc., a document summarizing them should also be attached.

For the test drug, the following data shall be attached where necessary.

- Data on the assessment and control of DNA reactive (mutagenic) impurities (refer to "Partial Revision of 'Assessment and Control of DNA Reactive (Mutagenic) Impurities in Pharmaceuticals to Limit Potential Carcinogenic Risk'" [PSEHB/PED Notification No. 0627-1 of the Pharmaceutical Evaluation Division, Pharmaceutical Safety and Environmental Health Bureau, Ministry of Health, Labour and Welfare, dated June 27, 2018])
- Data relating to quality of protein drugs, etc. manufactured using established cells

B Data to be attached to a notification in (7), [1], D shall be as follows.

- Document stating the reason why the conduct of the clinical trial concerned is scientifically justified (including the description of the outline of new study results and information after the previous notification)
- Protocol
- Written information and informed consent form used for informed consent (If those with the same contents are used at each medical institution in a multicenter clinical trial, one of them may be attached.)
- Sample case report form (If the items to be entered in the case report form are clearly shown in the protocol, the submission is not required.)
- Latest Investigator's Brochure (However, in cases where a person who intends to be a sponsor-investigator cannot obtain the Investigator's Brochure from the investigational product provider, it is acceptable to attach the documents describing the latest scientific findings regarding the test drug concerned [package insert, interview form, academic papers, etc.] instead of the Investigator's Brochures of the test drug concerned, only if

the person who intends to be a sponsor-investigator considers that the safety of the test drug can be ensured when it is used in the clinical trial. When submitting academic papers, etc., a document summarizing them should also be attached. They can be in English as well if a Japanese summary of the items necessary for the conduct, etc. of the clinical trial is attached.)

- Documents describing the latest scientific findings related to the study drugs other than the test drug (package inserts, interview forms, academic papers, etc.). When submitting academic papers, etc., a document summarizing them should also be attached.

For the test drug, the following data shall be attached where necessary.

- Data on the assessment and control of DNA reactive (mutagenic) impurities (refer to "Partial Revision of 'Assessment and Control of DNA Reactive (Mutagenic) Impurities in Pharmaceuticals to Limit Potential Carcinogenic Risk'" [PSEHB/PED Notification No. 0627-1 of the Pharmaceutical Evaluation Division, Pharmaceutical Safety and Environmental Health Bureau, Ministry of Health, Labour and Welfare, dated June 27, 2018])

The written opinion of the Institutional Review Board, written approval by the head of the medical institution, etc. do not need to be attached, but the conduct of the clinical trial should be approved by the head of the medical institution in advance based on the provisions of Article 15-7 of the Ministerial Ordinance on Good Clinical Practice (GCP) for Drugs (Ministry of Health and Welfare Ordinance No. 28 of 1997).

[2] Notification of changes in clinical trial plans

Data related to changes as needed.

(8), [1], A must be attached to notifications corresponding to (7), [2], B, and the data shown in (8), [1], B must be attached to notifications corresponding to (7), [2], C.

[3] Clinical trial discontinuation notification

Data related to the reason for discontinuation (including information on patients treated up to the time of discontinuation) as needed

(9) When changing the test substance identification code, a document describing the test substance identification codes before and after the change, the receipt number of the initial notification made with the test substance identification code before the change, and the serial number of clinical trial notifications subject to the change shall be submitted as submission data for the notification at the time of the notification.

2. Investigations of clinical trial plans

The drugs subject to a 30-day investigation have been communicated by Director-General Notification, III, (2), B. Attention should be paid to the following points.

(1) The drugs subject to a 30-day investigation are the test drugs shown below to be administered for the first time in humans in Japan in clinical trials planned for the test drugs concerned.

[1] Drugs with active ingredients different from those of approved drugs, etc.

(When microdose clinical studies are used, studies after microdose clinical studies are applicable.)

[2] Drugs with the same active ingredients as those of approved drugs, etc. but different routes of administration (including those that fall under Note 1., (7), [1], C, even if the route of administration is the same)

[3] Drugs with combination ratios of active ingredients different from those of approved drugs, etc. (excluding those shown in [1] and [2], those for which marketing approval application is planned as combination prescription drugs with similar formulations, and those for which marketing approval application is planned as drugs other than prescription drugs)

(2) A clinical trial to be conducted by a person who intends to be a sponsor-investigator is subject to a 30-day investigation even if the active ingredient and route of administration are the same as those in a clinical trial already conducted by the person who intends to sponsor a clinical trial, unless the sponsor of the clinical trial which has already been conducted is the same as the investigational product provider of the clinical trial to be conducted by the a sponsor-investigator.

3. Development discontinuation notification (Attached Form 2 of this notification)

If it is decided to discontinue the development of the test drug for which a clinical trial notification has been submitted, a notification on the decision shall be made to the Director, Pharmaceutical Evaluation Division, Pharmaceutical Safety Bureau, PMDA without delay after it is made. See Attachment 1 for notification items. The reason for discontinuation of development should be explained in detail.

4. Registration of study implementation status, etc.

After submitting a clinical trial notification, the information related to the clinical trial concerned (target disease, medical institution, current status of the clinical trial, etc.) shall be registered at the domestic clinical study information registration center (Japan Registry of Clinical Trials [jRCT]) for the purpose of revealing the implementation status, etc. of the clinical trial to third parties and contributing to assurance of the transparency and activation of clinical trials. For details of the contents to be registered, etc., refer to “Registration of Clinical Trial Implementation Status” (PSEHB/PED Notification No. 0326-3 dated March 26, 2018, revised on August 31, 2020).

5. Timing of application of this notification

This notification shall apply to notifications submitted on or after September 1, 2020. Until August 31, 2022, notifications may be submitted according to the previous rules.

(Attachment 1)

Notification Items in Clinical Trial Notifications, etc.

The clinical trial notification, notification of changes in clinical trial plans, clinical trial completion notification, and clinical trial discontinuation notification shall be submitted in the same form, in principle. Applicable items shall be stated or entered (hereinafter referred to as "stated, etc."). Leave columns blank if there are no applicable contents.

If Attached Form 1 or 2 of this notification is used and there are multiple entries for an item, the item concerned should be duplicated and the sequence (serial) number for each item should be given to state, etc. them. However, for 5. Information on medical institutions, the items from "Items for each medical institution" to "Other" shall be put together and repeatedly stated, etc. for each medical institution.

For a development discontinuation notification, a form that has only applicable items shall be used for description, etc.

When reporting dates among notification items, state, etc. them with 8-digit half-width numbers (yyyymmdd) using the Western calendar.

For a notification of changes in clinical trial plans, the content after the change and the change category such as "addition," "change," or "deletion," date of change, and reasons for change (within 200 characters) shall be stated, etc. State, etc. all items other than changes.

When using Attached Form 1 of this notification, state, etc. the change category, date of change, and reasons for change in the items to be changed along with the input items.

As the (scheduled) date of change, the (scheduled) date on which the content after change starts to take effect shall be stated, etc.

1. Version information of forms, etc.

State, etc. that the notification was made in the form based on this notification.

2. Common items for clinical trial notifications

(1) Test substance identification code of the main test drug

[1] The test substance identification code of the main test drug shall be stated, etc.

[2] State, etc. the test substance identification code determined by the investigational product provider or the person who intends to be a sponsor-investigator (no more than 20 alphanumeric characters) in half-width characters.

[3] The same test substance identification code shall be used for the same active ingredient except for the following [4], in principle. When changing the reported test substance identification code, the change category, date of change, and reasons for change shall be clarified in the notification of changes.

[4] Different codes should be used for test drugs with different routes of administration. When a study is conducted for the development of a formulation for which a clinical trial notification has already been submitted (hereinafter referred to as the "notified formulation") using another formulation with the same active ingredient as that of the notified formulation, but with a different

route of administration, and there is no need to develop the formulation, the test substance identification code of the formulation shall be the same as that of the notified formulation, and it is acceptable to make the clinical trial notification as the n-th notification for the notified formulation. In this case, the notification is subject to a 30-day investigation although it is the n-th notification and therefore, it shall be made in accordance with the handling of notifications subject to 30-day investigation specified in this notification.

If the notification corresponds to Note 1., (7), [1], C of this notification, a test substance identification code different from those of approved drugs, etc. shall be used. Even if the route of administration is the same, a different test substance identification code may be used, for example, for an extended-release formulation, etc. with different dosage and administration.

(2) Type of clinical trial

State, etc. "2" using a half-width numeral.

(3) Receipt number of the initial notification of the main test drug

The receipt number of the initial clinical trial notification, etc. related to the same test substance identification code as that of the main test drug shall be stated, etc. In this case, state, etc. “Shin No. ○○-○○○○” using half-width numerals and half-width hyphens as in “○○-○○○○” or “○○○○-○○○○.”

If the notification concerned corresponds to the first clinical trial notification, leave the column blank.

(4) Date of initial notification for the main test drug

The date of submission of the initial clinical trial notification, etc. related to the same test substance identification code as that of the main test drug shall be stated, etc.

(5) Number of notifications submitted for the main test drug

The cumulative number of clinical trial notifications submitted (not including notifications of changes in clinical trial plan, etc.) related to the same test substance identification code as that of the main test drug shall be stated, etc.

In cases including the conduct of a clinical trial for an application for approval of partial changes in approved product information such as addition of indications for approved drugs, if a clinical trial notification related to the main test drug concerned has been submitted in the past, a serial number shall be stated, etc. (for example, if a total of 10 notifications have been previously submitted, state, etc. 11 in half-width numerals).

(6) Receipt number of the clinical trial notification

Leave the column blank in the case of a clinical trial notification.

For a notification of changes in clinical trial plan, clinical trial completion notification, and clinical trial discontinuation notification, state, etc. the receipt number of the clinical trial notification concerned using half-width numerals and half-width hyphens.

(7) Date of the clinical trial notification

State, etc. the date of clinical trial notification, notification of changes in clinical trial plans, clinical trial completion notification, and clinical trial discontinuation notification.

3. Notification items related to the main test drug

(1) Date of notification

State, etc. the date of the notification concerned.

(2) Category of notification

State, etc. one category from “clinical trial notification,” “notification of changes in clinical trial plans,” “clinical trial completion notification,” “clinical trial discontinuation notification,” and “development discontinuation notification.”

(3) Number of changes

For a notification of changes in clinical trial plans, state, etc. the number of notifications submitted in half-width numerals to show that the present notification is the n-th notification of changes.

(4) Notification category

State, etc. “1” for notifications subject to a 30-day investigation, “2" for notifications corresponding to 1., (7), [1], D and [2], C of this notification, and “3” for other notifications in half-width numerals.

(5) Category of test drugs subject to a 30-day investigation applicable to the main test drug

If the main test drug used in the planned clinical trial related to the notification concerned is subject to a 30-day investigation, state, etc. “new active ingredient,” “new route of administration,” or “new combination drug” according to the category of the test drug investigated in the clinical trial related to the notification concerned.

For a test drug falling under the category of test drugs newly requiring notifications starting on April 1, 1997 for which a clinical trial (including those by persons who intend to sponsor clinical trials) has been conducted and which is not a drug to be administered for the first time in humans, the column shall be left blank even in the initial notification, and state, etc. to that effect in the “remarks” column.

(6) Discontinuation information

When submitting a clinical trial discontinuation notification, the time of discontinuation of the clinical trial (date on which a decision to discontinue it was made), reason for discontinuation (specify the details), and subsequent actions (specify the actions taken after the decision on discontinuation) should be stated, etc.

(7) Name and address of the main test drug provider

State, etc. the name and address of the investigational product provider.

State, etc. the vendor code (9 digits) in half-width numerals. In the case of a drug

manufactured at a place without a code, the last 3 digits shall be "999" for manufacturers licensed under the PMD Act, and enter "999999999" for those not licensed under the PMD Act.

If the provider of the main test drug is a foreign manufacturer, state, etc. its name (for a corporation, its name and the name of its representative) and address (for a corporation, the address of its main office) of the foreign manufacturer in Japanese and English.

(8) Information on ingredients and contents of the main test drug

Write, etc. the ingredients and contents of the main test drug.

For an ingredient name, write, etc. (English name and Japanese name) the non-proprietary name (JAN or INN). If the non-proprietary name has not been determined, write, etc. the chemical name (English name).

Write, etc. the content so that the content of the active ingredient per dosage form (○○ mg as ○○ per tablet) can be understood.

For the dosage form code information, write, etc. the first 2 alphanumeric characters of the dosage form code (4 digits) in half-width characters according to the codes specified in the Japanese Pharmacopoeia whenever possible.

(9) Manufacturing method of the main test drug

Write, etc. the manufacturing method of the main test drug.

For the manufacturing method of the drug substance, chemical synthesis, extraction, culture, genetic recombination, etc. should be distinguished clearly.

For formulations, the dosage form should be clearly written, etc. (e.g., “Chemically synthesized ○○○ is manufactured in accordance with the section for tablets in the General Rules for Preparations of the JP”). In the case of special dosage forms such as sustained-release formulations, an explanation should be given.

It shall also be written, etc. whether the drug is manufactured or imported. If it is imported, clearly state whether the drug substance is imported or the drug product is imported, and describe, etc. the exporting country, the name of the manufacturer, and the brand name in the exporting country.

(10) Information on the proposed indications of the main test drug

Write, etc. the indications expected from the pharmacology, etc. of the main test drug referring to similar drugs.

Write, etc. also the therapeutic category number (3 digits) in half-width numerals, wherever possible. If there are two or more therapeutic category numbers, it is acceptable to write, etc. the main therapeutic category number.

(11) Information on proposed dosage and administration of the main test drug

Write, etc. the proposed dosage and administration of the main test drug.

Write, etc. also the information on the administration route code (2 digits) in half-width numerals, wherever possible.

(12) Outline of clinical trial plan

[1] Protocol identification code

Write, etc. the identification code of the protocol concerned, if any.

[2] Phase of development

Regarding the development stage of the test drug concerned, enter “1” for Phase I, “2” for Phase II, and “3” for Phase III in half-width numerals as a development phase code, in accordance with “General Considerations for Clinical Trials” (PMSB/ELD Notification No. 380 of the Evaluation and Licensing Division, Pharmaceutical and Medical Safety Bureau, Ministry of Health and Welfare, dated April 21, 1998; hereinafter referred to as "General Guideline Notification”). In other cases, enter, etc. “0” for early exploratory clinical studies (microdose clinical studies in Approach 1 or 2 and studies in Approaches 3 to 5) defined in the “Guidance on Nonclinical Safety Studies for the Conduct of Human Clinical Trials and Marketing Authorization for Pharmaceuticals” (PFSB/ELD Notification No. 0219-4 of the Evaluation and Licensing Division, Pharmaceutical and Food Safety Bureau, Ministry of Health, Labour and Welfare, dated February 19, 2010), “4” for Phase I/II, “5” for Phase II/III, and “6” for Phase I/III in half-width numerals.

[3] Study type

The type of the clinical trial concerned should be written, etc. as “clinical pharmacology study,” “exploratory study,” “confirmatory study,” etc. according to the General Guideline Notification.

[4] Objective

Describe, etc. the objective specifically so that it is consistent with the objective described in the protocol.

[5] Information on planned number of subjects

In the section for “Planned number of subjects (test drug),” write, etc. the planned number of subjects to be treated with the test drug in half-width numerals. If there is any change in the planned number of subjects in association with the conduct of the clinical trial, a notification of change related to the item concerned is not necessary, in principle.

In the section of “Planned number of subjects (total),” if there is no control group, write, etc. the planned number of subjects to be treated with the test drug; if there is a control group, write, etc. the total number of subjects including the control group; and in the case of a global clinical trial, write, etc. the number of subjects in Japan.

When submitting a clinical trial completion notification or clinical trial discontinuation notification, write, etc. the number of all subjects who participated in the clinical trial.

[6] Target disease of the main test drug

Write, etc. the specific name of the disease to be treated with the main test drug. If the study is conducted in healthy subjects, describe, etc. this.

[7] Dosage and administration of the main test drug

Write, etc. the dosage and administration to be used for the main test drug in detail.

Write, etc. also the information on the administration route code (2 digits) in half-width numerals, wherever possible.

[8] Study period

Write, etc. the period from the date on which the investigational products are obtained from the investigational product provider to the latest scheduled date of completion of observation at the medical institution in year, month, and day.

[9] Reason, etc. for the fee

Leave the item blank if the study is free of charge. If the study drug is provided for a fee, describe the reason.

[10] Information on the party that bears expenses for the clinical trial

Write, etc. the party that bears the expenses and its adequacy.

[11] Information on coordinating investigator or member physicians of coordinating committee

If the coordinating investigator or coordinating committee is entrusted to coordinate the details of the clinical trial, write, etc. the names of the coordinating investigator or members of the coordinating committee. If a coordinating investigator submits the notification as a representative for a multicenter clinical trial, the coordinating investigator shall be written, etc. as the representative notifier.

[12] Name, address, and scope of entrusted operations of the party entrusted with the preparation and management of the conduct of the clinical trial entirely or partially (Contract Research Organization [CRO])

When outsourcing all or a part of the operations related to the preparation and management of the conduct of the clinical trial, describe, etc. the name and address of the contractor and the scope of the outsourced operations.

(13) Other information on the main test drug

[1] Clinical trials using drugs subject to the Cartagena Act

When conducting clinical trials using drugs containing a living modified organism subject to the "Act on the Conservation and Sustainable Use of Biological Diversity through Regulations on the Use of Living Modified Organisms" (Act No. 97 of 2003; hereinafter referred to as the "Cartagena Act"), write, etc. either "Type 1," "Type 2," or "Type 1 and Type 2" in the section for "Applicability, etc.," and describe, etc. the following contents in the section for "Details if applicable."

- Describe, etc. the approval status of type 1 use regulations under the Cartagena Act ("Under approval application [date of application]" or "Approved [approval date and notification number]").
- When conducting clinical trials using drugs subject to the Cartagena Act, describe, etc. the presence or absence of confirmation of containment measures for type 2 use under the Cartagena Act ("Under confirmation application," "Confirmed (date of confirmation and notification number)," or "Not required") and the planned work level ("GILSP," "Category 1," or

"Other") for each facility if there are multiple facilities.

If no clinical trials using drugs containing a living modified organism subject to the Cartagena Act are conducted, write, etc. "Not applicable" in the section for "Applicability, etc.," and leave the section for "Details if applicable" blank.

[2] Clinical trials using drugs expected to be designated as biological products

When conducting clinical trials using drugs expected to be designated (or designated) as biological products, write, etc. "biological product (expected)," "biological product (designated)," "specified biological product (expected)," or "specified biological product (designated)" in the section for "Applicability, etc." If no clinical trials using drugs expected to be designated (or designated) as biological products are conducted, write, etc. "Not applicable."

[3] Development of corresponding companion diagnostics, etc.

When developing any corresponding companion diagnostics, etc. in clinical trials, write, etc. "Applicable" in the section for "Applicability, etc." If not developing them, describe, etc. "Not applicable."

[4] Clinical trials on combination products

When conducting clinical trials using drugs, machine/equipment, processed cells, etc. which are considered to correspond to combination products when manufactured and marketed, write, etc. "Applicable" in the section for "Applicability." When conducting no such clinical trials, write, etc. "Not applicable."

[5] Other

When developing any corresponding companion diagnostics, etc. in clinical trials, write, etc. the development status of the companion diagnostics, etc. briefly to the extent possible based on the "Notification on Approval Application for *In Vitro* Companion Diagnostics and Corresponding Therapeutic Products (PFSB/ELD Notification No. 0701-10 of the Evaluation and Licensing Division, Pharmaceutical and Food Safety Bureau, Ministry of Health, Labour and Welfare, dated July 1, 2013)."

Write, etc. other items warranting special mention, if any.

(14) Other information related to the notification

[1] Positioning of clinical studies

Write, etc. "Pivotal clinical trial" if a pivotal clinical trial is conducted, "Expanded access program" if an expanded use program is conducted, and "Not applicable" if a clinical trial other than these is conducted in the section for "Applicability, etc."

Information on pivotal clinical trials and expanded access programs is published on the PMDA's website. Therefore, necessary measures should be taken separately based on the "Revision of 'Implementation of Clinical Trials Conducted from Humanitarian Perspective'" (PSEHB/PED Notification No. 0831-3 of the Pharmaceutical Evaluation Division, Pharmaceutical Safety and Environmental Health Bureau, Ministry of Health, Labour and Welfare, dated August 31, 2022).

[2] Global clinical trials

When conducting global clinical trials, write, etc. “Applicable," and when no global clinical trials are conducted, write, etc. "Not applicable" in the section for “Applicability."

In addition, write, etc. the names of the countries participating in the global clinical trial concerned or local information, the planned number of subjects in the global clinical trial concerned, and the ratio of the number of subjects in Japan to the planned number of subjects in the global clinical trial concerned to the extent known in the section for “Details.”

Regarding the items related to global clinical trials, it is not necessary to make a notification of changes in clinical trial plans only for the changes in these items, and it is acceptable to make these changes when submitting a notification of changes in clinical trial plans for other reasons.

[3] Clinical trials including genomic tests, etc.

When conducting clinical trials using genomic testing, etc. related to the actions of drugs (including tests targeting biomarkers, etc. related to the mechanism of expression of genomes including those of proteins derived from specific genes), write, etc. “Applicable,” and when conducting no such clinical trials, write, etc. “Not applicable.”

[4] Products developed using microdose clinical studies

Write, etc. “Applicable” when the clinical trial concerned is a microdose clinical study and “Not applicable” when it is not.

[5] Writing, etc. of machine/equipment, etc. concomitantly used in the clinical trial related to the notification concerned

When an investigational device that does not require notification of its clinical trial plan, such as a machine or equipment, etc., is concomitantly used, write, etc. “Applicable” in the section for “Applicability” and write, etc. the category, non-proprietary name, and classification of the investigational device, other items necessary to identify the investigational device, and the quantity in the section for “Details.”

[6] Other

When writing, etc. an “Expanded access program,” write, etc. “Receipt number of expanded access program, pivotal clinical trial, ○○-○○○○.”

Write, etc. other items warranting special mention, if any.

(15) Remarks

Enter other items warranting special mention, if any.

(16) Submission data for notifications

Write, etc. the titles of materials attached to the notification. Write, etc. items warranting special mention, if any, in the remarks column regarding submission data for notifications.

(17) Information on clinical trial notifier

Write, etc. the address, name, affiliation, phone number, and fax number or e-mail address of the medical institution to which the person who intends to be a

sponsor-investigator (a physician or dentist who should be the investigator, or a physician or dentist who intends to submit the notification of the clinical trial plan as a representative and should be the coordinating investigator in a multicenter clinical trial) belongs. If all notifications related to the clinical trial concerned are made by the representative notifier, it is not necessary to include the names of investigators.

If there is a person in charge of notification other than the person who intends to be a sponsor-investigator, write, etc. the name, affiliation, phone number, and fax number or e-mail address of the person in charge of notification.

Write, etc. the phone number, fax number, and e-mail address in half-width characters.

4. Information on study drugs, study device equivalents, study product equivalents (excluding the main test drug)

(1) Drug/medical device/regenerative medical product

Describe, etc. whether a study drug, study device equivalent, or study product equivalent (excluding the main test drug) is a “drug,” “medical device,” “in vitro diagnostic,” or “regenerative medical product,” respectively.

(2) Codes/names, etc. of study drugs, study device equivalents, and study product equivalents

In the section for “codes/names, etc.,” write, etc. as follows. In addition, write, etc. “test substance identification code,” “clinical trial identification code,” “generic name,” or “other” in the section of “Type of codes/names, etc.” as the choice corresponding to the content written, etc. in the section for “codes/names, etc.,” and if “other” is written, etc., the content described, etc. shall be explained specifically in the section for “Details in other cases.”

- Write, etc. the test substance identification code in case of test drugs. The test substance identification code shall be assigned as written in 2., (1).
- In the case of study drugs other than test drugs, write, etc. the generic name (enter JAN, and if JAN has not been assigned, enter INN).
- In the case of study device equivalents or study product equivalents, write, etc. the clinical trial identification code.

(3) Information on categories of study drugs, study device equivalents, and study product equivalents

In the section of “Differentiation of test drugs/comparators/concomitant drugs/rescue drugs, etc.,” write, etc. whether the study drug, study device equivalent, or study product equivalent (excluding the main test drug) is a “test drug,” “comparator,” “concomitant drug,” “rescue drug,” or “other,” respectively. If “other" is selected, describe, etc. specifically the role of the study drug, study device equivalent, or study product equivalent concerned in the protocol in the section of “Study drug/study device equivalent/study product equivalent in other cases.”

Select “test drug" for test device equivalents or test product equivalents, “comparator” for the comparator devices or products, and “concomitant drug” for

concomitant devices or products.

If multiple choices apply, describe, etc. test drug first, followed by comparator, concomitant drug, rescue drug, and others in this order of priority.

(4) Approval status in Japan

Write, etc. whether the study drug, study device equivalent, or study product equivalent (excluding the main test drug) is "Not approved," "Off-label," or "Approved."

(5) Notification items for study drugs, study device equivalents, study product equivalents (excluding the main test drug)

Write, etc. the "Category of test drugs subject to a 30-day investigation," "Name and address of manufacturing site or sales office (investigational product provider)," "Information on ingredients and contents, " "Manufacturing method," "Information on proposed indications," "Information on proposed dosage and administration," "Outline of clinical trial plan (target disease, information on dosage and administration), " "Other information (clinical trials using drugs subject to the Cartagena Act, clinical trials using drugs expected to be designated as biological products, development of corresponding companion diagnostics, etc., clinical trials on combination products)," and "Information on foreign manufacturers" of study drugs, study device equivalents, and study product equivalents (excluding the main test drug) in accordance with the method of description for the main test drug. For study drugs other than test drugs, it is acceptable to write, etc. items only of "Information on ingredients and contents" and leave other items blank.

When writing, etc. the information on study device equivalents in the notification items for study drugs, study device equivalents, and study product equivalents (excluding the main test drug), reinterpret each item with reference to Article 275 of the Regulation. For study device equivalents other than test device equivalents, it is acceptable to write items only of "Structure and principle" and leave other items blank.

When writing, etc. the information on study product equivalents in the notification items for study drugs, study device equivalents, and study product equivalents (excluding the main test drug), reinterpret each item with reference to Article 275-4 of the Regulation. For study product equivalents other than test product equivalents, it is acceptable to write, etc. items only of "Component cells and transgene" and leave other items blank.

In the section for "Other remarks," write, etc. other items warranting special mention, if any, for study drugs, study device equivalents, and study product equivalents (excluding the main test drug).

Describe, etc. "Yes" in the section for "Presence or absence of adverse reaction reports."

5. Items for each medical institution

(1) Name, address, and main phone number of the medical institution

Describe, etc. the name, address, and main phone number of the medical institution.

For the name, describe, etc. specifically such as "○○ Department, ○○ University ○○ Hospital."

(2) Information on investigator

Describe, etc. the name, university number (see Attachment 4), year of graduation, and hiragana for the name.

(3) Information on subinvestigator

Describe, etc. the name and hiragana for the name.

(4) Information on quantity of study drugs, study device equivalents, and study product equivalents

Write, etc. the planned quantity of study drugs to be obtained at the medical institution by type (dosage form and strength). Appropriate quantity should be obtained in consideration of the dosage and administration and the planned number of subjects. However, for study drugs such as rescue drugs the appropriate quantity of which is difficult to predict, it is acceptable to write, etc. the quantity assumed based on the planned number of subjects.

In the clinical trial completion notification or clinical trial discontinuation notification, write, etc. the quantity of the study drugs actually obtained, used, collected, and discarded by type (dosage form and strength).

When allocation is performed by set in double-blind studies, etc., it is acceptable to show the quantity allocated per set in a footnote and write, etc. the number of sets.

If there is any change in the quantity of supplied study drugs in association with the conduct of the clinical trial, a notification of change related to the item concerned is not necessary, in principle.

In the clinical trial completion notification or clinical trial discontinuation notification for a double-blind study, etc., the total quantity of the test drug and the comparator for the respective quantity of supplied (obtained), used, collected, and discarded study drugs assigned may be entered. However, if there is any doubt about the quantity entered, the sponsor may be asked to report the detailed quantity for each study drug.

(5) Planned number of subjects

In the clinical trial notification or notification of changes in clinical trial plans, write, etc. the planned number of subjects at the medical institution (including the test drug group and the comparator group).

If there is any change in the planned number of subjects in association with the

conduct of the clinical trial, a notification of change related to the item concerned is not necessary, in principle.

(6) Number of subjects

In the clinical trial completion notification or clinical trial discontinuation notification, write, etc. the number of subjects at the medical institution (including the test drug group and the comparator group).

(7) Name, address, and scope of entrusted operations of a party entrusted with a part of operations related to the conduct of the clinical trial (Site Management Organization [SMO], etc.) by the medical institution

When outsourcing a part of the operations related to the conduct of the clinical trial at medical institutions, write, etc. the name, address, and the scope of the outsourced operations of the contractor entrusted with the operations concerned for each medical institution.

(8) Information on the Institutional Review Board (IRB)

Write, etc. the name (the corporate name and name of the representative) and address of the founder of the IRB for each medical institution. If investigation and deliberation are to be conducted by the IRB established by the head of the medical institution (excluding those jointly established by the head of the medical institution and the head of another medical institution), describe, etc. “In-house lRB.” It is not necessary to describe, etc. the name (the corporate name and name of the representative) and address of the founder of the IRB. If investigation and deliberation are to be conducted by the IRB jointly established by the heads of multiple medical institutions, write, etc. the name of the jointly established IRB and address of the office of the IRB concerned, instead of the name of the founder of the IRB.

(9) Other

For a multicenter clinical trial, write, etc. the names of other medical institutions. In this case, write, etc. the name, affiliation, contact information, protocol identification code, etc. of all investigators as joint names. However, this shall not apply if the coordinating investigator has submitted a notification of the multicenter clinical trial concerned as a representative.

It is desirable to write, etc. the items warranting special mention regarding each medical institution, if any.

(10) Footnotes

Enter if there is any item common to all medical institutions, such as the quantity allocated per set.

6. Information on clinical trial notifications to be referred to

If there is any information on clinical trial notifications referred to in the clinical trial notification concerned, describe, etc. the following contents.

Write, etc. that the main test drug, the main test device, or the main test product of

the clinical trial notification referred to is a “Drug,” “Medical device,” or “Regenerative medical product” in the section of “Drug/medical device/regenerative medical product.”

Write, etc. the test substance identification code of the main test drug or the clinical trial identification code of the main test device or the main test product in the clinical trial notification referred to in the section for “Test substance identification code or clinical trial identification code.” Write, etc. the “Number of notifications submitted” of the clinical trial notification referred to.

Then, write, etc. “1” or “2” in half-width numerals in the section of “Reference category” and write, etc. the details of reference contents specifically in the section of “Details of reference.”

7. Development discontinuation notification

Discontinuation shall be reported by writing, etc. the test substance identification code of the test drug for which discontinuation of development was decided, the “Receipt number” and “Notification date” of the initial notification for the test drug concerned, the notification date, classification of notification, discontinuation information (including the time of discontinuation [the date of decision of development discontinuation] and the reason for discontinuation [specific reason for development]), remarks, submission data attached to the notification (if data are attached), and information on the clinical trial notifier.

In the “Remarks” column, describe, etc. that “There is no ongoing clinical trial for the test drug for which the discontinuation of development was determined.”

(Attachment 2)

Input Format, etc. for Electronic Media

1. Format of electronic media to be submitted

The electronic media to be submitted should be CD-R or DVD-R, in principle. If submission in other media is desired, consult PMDA in advance.

2. Method of recording in electronic media, etc.

Record in a format that does not allow for addition (disk at once).

(1) Notifications

If no XML files are prepared, notifications should be prepared using the attached forms of this notification.

(2) Documents

[1] to [8] shall be in PDF format. Do not use scanning, but prepare PDF files containing text information. Do not set passwords, download restrictions, or any other security settings on the created files. In the files for [3] and [6], bookmarks shall be placed with reference to the section titles shown in the Report of the Central Pharmaceutical Affairs Council (CPAC Notification No. 40, dated March 13, 1997). For notifications such as clinical trial completion notifications that do not require submission of submission data, electronic media should be prepared only for [1]. In the case of replacement, only the replacement file shall be recorded, and the old/new comparison table shall be included in the file of the same data to prepare a PDF.

When submitting the final report of nonclinical safety studies (toxicity studies and safety pharmacology studies), put together the files of each final report in one folder and make the folder into a zip file to submit, based on "Submission of Final Reports of Nonclinical Safety Studies at the Time of Notification of the Clinical Trial Plan of Drugs Administered to Humans for the First Time" (PMDA/CPE Director Notification No. 0620003 of the Director of Center for Product Evaluation, Pharmaceuticals and Medical Devices Agency, dated June 20, 2019; hereinafter referred to as the "Notification of the Center for Product Evaluation for First-in-human Studies").

[1] Notification
[2] Document stating the reason why the request for the clinical trial concerned is scientifically justified
[3] Protocol
[4] Written information and informed consent form used for informed consent
[5] Sample case report form (If the items to be entered in the case report form are clearly shown in the protocol, the submission is not required.)
[6] Latest Investigator's Brochure

[7] Documents describing the latest scientific findings related to the study drugs other than the test drug (package inserts, interview forms, academic papers, etc.)
[8] Other

3. Items to be written in electronic media

A label containing the following information should be attached on the electronic media, or the following information should be directly saved in the electronic media.

(1) The name of the notifier and the name, affiliation, and phone/fax number or e-mail address of the person in charge of notification
(2) The test substance identification code of the main test drug, classification of notification, and number of clinical trial notifications concerned submitted
(3) Date of notification (date of the notification to be submitted)
(4) Receipt number (Prepare only the column without entering anything.)

4. Number of electronic media

In principle, one medium shall be submitted for each notification. Multiple notifications shall not be recorded in one electronic medium.

5. File names of electronic media

(1) PDF file names

The names of the files to be stored in electronic media shall be created with half-width alphanumeric characters and symbols in the following format.

[1] Notifications other than notifications of changes in clinical trial plans

Test substance identification code of the main test drug	_	Number of notifications submitted	_	Classification of notification	.pdf

Example: "PMDA-123_03_S.pdf"

[2] Notifications of changes in clinical trial plans or submission data

Test substance identification code of the main test drug	_	Number of notifications submitted	_	Classification of notification	_	Number of changes or data information	.pdf

Examples: “PMDA-123_03_H_14.pdf” “PMDA-123_03_K_P.pdf”

[3] Notifications of changes in clinical trial plans (submission data)

test substance identification code of the main test drug	_	Number of notifications submitted	_	Classification of notification	_	Number of changes	_	Data information	.pdf

Example: "PMDA-123_03_H_14_P.pdf"

[4] If there are multiple files of the same data information, add "_" and an alphabet starting from A to identify the data, following the data information. For the file names of a notification for changes to be submitted, use the same letters of the alphabet as those used for the file names at the time of submitting the notification of the plan.

Examples: “PMDA-123_01_K_IB_A.pdf” “PMDA-123_01_K_IB_B.pdf”

[5] For replacement, the version number shall be indicated at the end of the file name. Add "1" for the first replacement and increase the number by one each time the replacement is made. If the last letter of the file name is a number as is the case with notification of changes in clinical trial plan, an underscore (half-width) should be added before the version number. In the case of replacement, it is acceptable to record only the replacement file.

Examples: “PMDA-123_01_K_P1.pdf” “PMDA-123_01_K_IB_A1.pdf”
“PMDA-123_01_H_02_1.pdf”

[6] In the case of a development discontinuation notification, the number of notifications submitted should be “00.”

Example: “PMDA-123_00_END.pdf”

[7] When submitting the final report of nonclinical safety studies (toxicity studies and safety pharmacology studies), assign file names based on the Notification of the Center for Product Evaluation for First-in-human Studies.

(2) XML file names

The names of the files to be stored in electronic media shall be created solely using half-width alphanumeric characters and symbols in the following format.

Name of notifier	_	Test substance identification code of the main test drug	_	Number of notifications submitted	.xml

Example: “KIKOU_PMDA-123_03.xml”

Prepare the names paying attention to the following points.

- The name of the notifier should be replaced with Roman characters as appropriate.
- Do not use underscores, periods, and blank characters for the name of the notifier and the test substance identification code.

(3) ZIP file names

When putting together the files of a final report of nonclinical safety studies (toxicity studies and safety pharmacology studies) into one folder and making the folder into a zip file, the name of the zip file should be prepared solely using half-width alphanumeric characters and symbols in the following format.

Test substance identification code of the main test drug	_	Number of notifications submitted	_	Classification of notification	_	TR	.zip

Example: “PMDA-123_01_K_TR.zip”

(4) General considerations

Enter the test substance identification code accurately including hyphens and spaces. The number of notifications submitted shall be the number of clinical trial notifications submitted. Use lowercase letters for extensions. Use an underscore (half-width) for "_."

The number of characters in a file name shall be 255 bytes or less, including the extension.

(5) Classification of notification

Clinical trial notification	K
Notification of changes in clinical trial plans	H
Clinical trial completion notification	S
Clinical trial discontinuation notification	C
Development discontinuation notification	END

(6) Data information

Document stating the reason why the request for the clinical trial concerned is scientifically justified	R
Protocol	P
Written information and informed consent form used for informed consent	IC
Sample case report form	CRF
Latest Investigator's Brochure	IB
Documents describing the latest scientific findings related to the study drugs other than the test drug (package inserts, interview forms, academic papers, etc.)	SF
Other	etc.

6. Input format for electronic media

Follow the Japan Industrial Standards "Extensible Markup Language XML" (JISX4159).

(Attachment 3)

Structural Definition (schema) of XML Documents

```
<?xml version = "1.0" encoding = "utf-8"?>
<xsd:schema xmlns:xsd = "http://www.w3.org/2001/XMLSchema">
        <!--厚生労働省　治験届の電子媒体に記入する電子ファイルに適用する XML Schema による XML 文書構造定義

        令和 2 年 9 月 1 日以降に提出する治験計画届書については、以下の XML Schema に基づき作成すること。
        なお、令和 4 年 9 月 1 日までの間は従前の例により届け出て差し支えない。

        最新の版番号:     3.0.0
        発行年月日:       令和 2 年 8 月 31 日
        発行者:           厚生労働省医薬・生活衛生局　医薬品審査管理課

        変更履歴:
          2.0 版      平成 20 年 8 月 15 日-従来の SGML 規則による文書を XML 規則によるものに変更した。
          3.0.0 版    令和 2 年 8 月 31 日-令和元年薬機法改正に伴う届出項目の変更に対応。

-->
    <xsd:element name = "CLINTRIALPLANNOTE">
        <!--治験の計画等の届出-->
        <xsd:complexType>
            <xsd:sequence>
                <xsd:element name = "VARIABLELABEL" type = "xsd:string"/>
                <xsd:element name = "INFOFORMVERSION" type = "ATTR_UPDATE_TYPE"/>
                <!--様式等のバージョン情報-->
                <xsd:element name = "COMMONINFOCLINTRIALPLANNOTE" type = "COMMONINFOCLINTRIALPLANNOTE_TYPE"/>
                <!--治験届出共通事項-->
                <xsd:element name = "INFONOTE" type = "INFONOTE_TYPE"/>
                <!--主たる被験薬に関する届出事項-->
                <xsd:element name = "INFOCOMBINATION" type = "INFOCOMBINATION_TYPE" minOccurs = "0" maxOccurs = "1"/>
                <!--治験使用薬、治験使用機器相当、治験使用製品相当(主たる被験薬を除く。)の情報-->
                <xsd:element name = "INFOMEDICALINSTITUT" type = "INFOMEDICALINSTITUT_TYPE" minOccurs = "0" maxOccurs = "1"/>
                <!--実施医療機関情報-->
                <xsd:element name = "INFOREFCLINTRIALPLANNOTER" type = "INFOREFCLINTRIALPLANNOTER_TYPE" minOccurs = "0" maxOccurs = "1"/>
                <!--参照する治験届出情報-->
            </xsd:sequence>
        </xsd:complexType>
</xsd:element>
<!--治験届出共通事項-->
<xsd:complexType name = "COMMONINFOCLINTRIALPLANNOTE_TYPE">
        <xsd:sequence>
            <xsd:element name = "VARIABLELABEL" type = "xsd:string"/>
            <xsd:element name = "TESTSUBSTANCEIDCODE" type = "ATTR_UPDATE_TYPE"/>
            <!--主たる被験薬の治験成分記号-->
            <xsd:element name = "TYPECLINTRIALS" type = "ATTR_UPDATE_TYPE"/>
            <!--治験の種類-->
```

(Attachment 4)

List of University Numbers

番号	大学名	番号	大学名	番号	大学名
010	愛知医科大学	330	慶應義塾大学	650	名古屋市立大学
020	愛知学院大学	340	高知大学	660	名古屋大学
030	秋田大学	350	神戸大学	670	奈良県立医科大学
040	旭川医科大学	360	埼玉医科大学	680	新潟大学
050	朝日大学	370	佐賀大学	690	日本医科大学
060	岩手医科大学	380	札幌医科大学	700	日本歯科大学
070	愛媛大学	390	産業医科大学	710	日本大学
080	大分大学	400	滋賀医科大学	720	浜松医科大学
090	奥羽大学	410	自治医科大学	730	兵庫医科大学
100	大阪医科薬科大学	420	島根大学	740	弘前大学
110	大阪歯科大学	430	順天堂大学	750	広島大学
120	大阪公立大学	440	昭和大学	760	福井大学
130	大阪大学	450	信州大学	770	福岡歯科大学
140	岡山大学	460	聖マリアンナ医科大学	780	福岡大学
150	香川大学	470	千葉大学	790	福島県立医科大学
160	鹿児島大学	480	筑波大学	800	藤田医科大学
170	神奈川歯科大学	490	鶴見大学	810	防衛医科大学校
180	金沢医科大学	500	帝京大学	820	北海道医療大学
190	金沢大学	510	東海大学	830	北海道大学
200	川崎医科大学	520	東京医科歯科大学	840	松本歯科大学
210	関西医科大学	530	東京医科大学	850	三重大学
220	北里大学	540	東京歯科大学	860	宮崎大学
230	岐阜大学	550	東京慈恵会医科大学	870	明海大学
240	九州歯科大学	560	東京女子医科大学	880	山形大学
250	九州大学	570	東京大学	890	山口大学
260	京都大学	580	東邦大学	900	山梨大学
270	京都府立医科大学	590	東北大学	910	横浜市立大学
280	杏林大学	600	徳島大学	920	琉球大学
290	近畿大学	610	獨協医科大学	930	和歌山県立医科大学
300	熊本大学	620	鳥取大学	940	国際医療福祉大学
310	久留米大学	630	富山大学	950	東北医科薬科大学
320	群馬大学	640	長崎大学	999	Overseas universities

注) 大学の名称が変更された等の理由により該当する名称がない場合には現在の名称に読み替えて入力すること。