



NDS/SNDS Screening Report
(Including response to NON/NOD/SDN)

Brand/Proprietary Name of Drug Product		
Proper, Common or Non-proprietary Name of Drug Substance (supplied as)		
Manufacturer / Sponsor		
Therapeutic Classification		
Dosage Form(s) and Strength(s)		
Route(s) of Administration		
Submission Type/Control Number		
Dossier ID/dB Sequence Number(s)		
Proposed and/or Currently Approved Indications		
Reason for Supplement		
Foreign Regulatory Status		
Relevant submissions currently in review		

Submission Issues to Flag	
Regulatory	
Clinical	
Non-Clinical	
Quality	
DBE	
Labelling	
Brand Name Assessment	
MHPD	

Regulatory Information
<p><u>Sponsor Contact Info:</u> Name and Title: Phone: Fax: E-mail:</p>
<p><u>Project Team Members:</u> Clinical Manager: Team Leader/Quality Manager: DBE Manager: Regulatory Project Manager:</p>

<p><u>Review Streams:</u></p> <p><input type="checkbox"/> Clinical</p> <p><input type="checkbox"/> Non-Clinical</p> <p><input type="checkbox"/> Quality (NDQD) / <input type="checkbox"/> 1 MF / <input type="checkbox"/> > 1 MF</p> <p><input type="checkbox"/> Labelling / <input type="checkbox"/> Brand Name Assessment</p> <p><input type="checkbox"/> DBE 1 or 2</p> <p><input type="checkbox"/> MSD 1 or 2</p> <p><input type="checkbox"/> MHPD/RMP</p>	
<p><u>Submission Status:</u></p> <p><input type="checkbox"/> Review 1</p> <p style="padding-left: 20px;"><input type="checkbox"/> Original submission</p> <p style="padding-left: 20px;"><input type="checkbox"/> Response to SDN</p> <p style="padding-left: 20px;"><input type="checkbox"/> Response to NOD</p> <p><input type="checkbox"/> Review 2</p> <p style="padding-left: 20px;"><input type="checkbox"/> Response to NON</p> <p><u>Submission Format:</u></p> <p><input type="checkbox"/> eCTD</p> <p><input type="checkbox"/> Non-eCTD electronic</p>	<p><u>Cost Recovery:</u></p> <p>Total Fee: \$</p> <p><u>Submission & Fee Class:</u></p> <p><input type="checkbox"/> New Active Substance</p> <p><input type="checkbox"/> Clinical + C&M</p> <p style="padding-left: 40px;"><input type="checkbox"/> SRTD (published literature + C&M)</p> <p><input type="checkbox"/> Clinical Only</p> <p><input type="checkbox"/> Comparative studies (+ C&M)</p> <p><input type="checkbox"/> Published Data Only</p> <p><input type="checkbox"/> Other:</p> <p><input type="checkbox"/> Note added in docuBridge to verify fee form</p> <p><input type="checkbox"/> Fee remission requested (notify Cost Recovery)</p> <p><u>R/SDN, R/NOD or R/NON:</u></p> <p><input type="checkbox"/> Change in submission and fee class</p> <p>If changes to fees in DSTS are required, see Screening Guide.</p>
<p><u>Drug Status Assessment:</u></p> <p><input type="checkbox"/> Drug substance appears on <i>New Drug List</i> as (specify):</p> <p><input type="checkbox"/> Drug substance does not appear on <i>New Drug List</i>, but is still considered a new drug, specify reasons:</p> <p style="padding-left: 20px;"><input type="checkbox"/> New Active Substance</p> <p style="padding-left: 20px;"><input type="checkbox"/> Innovator New Chemical Entity (NCE) approved after last update of list,</p> <p style="padding-left: 20px;"><input type="checkbox"/> Drug substance reclassified as new drug,</p> <p style="padding-left: 20px;"><input type="checkbox"/> New combination or proportion of two or more old drug substances,</p> <p style="padding-left: 20px;"><input type="checkbox"/> New indication, route of administration, or conditions of use for old drug substance</p> <p><input type="checkbox"/> Drug substance does not appear on <i>New Drug List</i> and is not considered a New Drug</p>	
<p><u>Background:</u></p> <p>Information cross-referenced to previously approved submissions?</p> <p style="padding-left: 20px;">➤ If yes, specify (Product Name, Control Number, approval status, information cross-referenced):</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Regulatory Considerations:		
➤ Was Advance Consideration for NOC/c granted?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, has additional information/data been provided that is not related to the indication(s) that was/were advance consideration for NOC/c?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Was priority review granted?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, has additional information/data been provided that is not related to the indication(s) that was/were granted priority review?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Has expedited review been requested by the Sponsor?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, see Expedited Review Request Flowchart		
➤ Has a prescription vs. OTC assessment been completed?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Are revisions to the Prescription Drug List (new drug) or Schedule G/J (controlled/restricted) required?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Is a Summary Basis of Decision required?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Is a Regulatory Decision Summary required?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Does submission include pediatric studies? (flag for review and ensure DSTS updated)		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ Has the DSTS been properly populated per the internal DPD? (including proposed brand name, correct expression of all strengths, submission type, sub-class, as well as screening start and completion dates)		<input type="checkbox"/> Yes <input type="checkbox"/> No
For Supplements:		
➤ Is the parent submission Inactive or in Review?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, see Screening Guide for further information.		
➤ Identify the status of the approved DINs on the DPD:		<input type="checkbox"/> Done
• [DIN] [STRENGTH/DOSAGE FORM] [DIN status] <i>(repeat if necessary)</i>		
➤ If any DIN(s) is/are inactive or cancelled, see Screening Guide for further information		
➤ Are Level III C&M changes included?		<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, see Appendix 3 of the Screening Guide for wording to be added to the screening report.		

MODULE 1 – ADMINISTRATIVE INFORMATION AND PRESCRIBING INFORMATION

Module	Administrative Information	
1.0.5	Summary of Sponsor Meetings: ➤ Was a pre-submission (NDS/SNDS) meeting held with the sponsor? ➤ If yes, control #: ➤ Has all information requested at a meeting been included or addressed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
1.0.4	Response Q&A Document: ➤ If Response to SDN, NOD or NON, has the Q&A document been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.0.7	For SNDS only: Summary of Post-Notice of Compliance Quality Changes: ➤ Has the Summary of Post-Notice of Compliance Quality Changes table been provided? ➤ Have the proposed changes been verified against the Post-NOC Changes: Quality Document (effective date 2016/10/14)? ➤ Has the applicable information from this table been included into the Screening Report? ➤ Comments:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
1.2.1 1.2.1/1.2.6 1.2.1/1.2.2 1.2.3 1.2.3	Application Forms ➤ Drug Submission Application Form (HC/SC 3011)/REP forms ➤ Third Party Authorizations provided ➤ Drug Submission Fee Application Form ➤ Submission Certification Form ➤ Signed by Canadian signing authority? ➤ Mock-Up Labels and Packages Certification form	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
1.2.3	Certification of Suitability (CEP) ➤ Has a valid and complete (including annexes) Certificate of Suitability (CEP)	<input type="checkbox"/> Yes <input type="checkbox"/> No

Module	Administrative Information											
	<p>issued by the European Directorate for the Quality of Medicines and Healthcare (EDQM) been provided? If yes, (Repeat if necessary):</p> <table border="1" data-bbox="360 304 1226 653"> <tr> <td data-bbox="360 304 906 367">Substance</td> <td data-bbox="906 304 1226 367"></td> </tr> <tr> <td data-bbox="360 367 906 430">Certificate Number</td> <td data-bbox="906 367 1226 430">Rx-CEP yyyy-xxx-Rev x</td> </tr> <tr> <td data-bbox="360 430 906 493">Is the CEP version the most up to date as per the EDQM website?</td> <td data-bbox="906 430 1226 493"><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td data-bbox="360 493 906 556">Does the address on the CEP match the CPID?</td> <td data-bbox="906 493 1226 556"><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td data-bbox="360 556 906 653"> Is the required attestation provided? ➤ If no, has a justification been provided? </td> <td data-bbox="906 556 1226 653"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No </td> </tr> </table>		Substance		Certificate Number	Rx-CEP yyyy-xxx-Rev x	Is the CEP version the most up to date as per the EDQM website?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Does the address on the CEP match the CPID?	<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the required attestation provided? ➤ If no, has a justification been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
Substance												
Certificate Number	Rx-CEP yyyy-xxx-Rev x											
Is the CEP version the most up to date as per the EDQM website?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
Does the address on the CEP match the CPID?	<input type="checkbox"/> Yes <input type="checkbox"/> No											
Is the required attestation provided? ➤ If no, has a justification been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No											
1.2.6	<p>HTA Alignment ➤ Has a signed <i>Authorizing Sharing of Information</i> consent letter been provided? ➤ If yes, has the Sponsor made any obvious modifications to Health Canada's Template?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No										
1.2.7	<p>Foreign Regulatory Information: Which foreign review has been provided? <input type="checkbox"/> FDA <input type="checkbox"/> EMA <input type="checkbox"/> None <input type="checkbox"/> Other : _____ Has the Foreign Review Attestation been provided?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No										
1.3.1	<p>Product Monograph: Proposed PM provided: In English: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated In French: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated <input type="checkbox"/> Sponsor has committed to provide the 2nd language version(s) within 15 days after the submission has been accepted into review</p> <p>➤ For NDS, is the proposed PM in the 2016 format? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ For NDS, are there multiple formulations with <u>different</u> medicinal ingredients on one PM? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ If yes, clarifax to request that the products to be split into separate PMs or request rationale for why they should stay on one PM</p> <p><i>SNDS (additional requirements):</i> ➤ Is this a migration to a new format? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Format/Content of PM is acceptable and all sections are completed? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Proposed PM is based on the most recently approved PM? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Control # ➤ Document compare performed? (if in same format) <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ Has document compare shown changes not highlighted by the sponsor? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ If yes, please list the changes: ➤ Have new references been added to the PM? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ If yes, have the references have been included in the submission? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Package Insert: Is a Package Insert required for this submission, according to the <i>Mock-Up Labels and Packages Certification</i> form? ➤ If yes, has a mock-up been provided: In English: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated In French: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated <input type="checkbox"/> Sponsor has committed to provide the 2nd language version(s) within 15 days after the submission has been accepted into review</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No										
1.3.2	<p>Inner and Outer Labels:</p>											

Module	Administrative Information	
	Are labels required for this submission, according to the <i>Mock-Up Labels and Packages Certification</i> form (actual size for all strengths, dosage forms & proposed packaging formats)? ➤ If yes, have mock-ups been provided: In English: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated In French: <input type="checkbox"/> Clean <input type="checkbox"/> Annotated (Note: Only a <u>clean</u> copy is required for 2 nd language)	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.3	Non-Canadian Labelling: ➤ Copies of Non-Canadian labelling provided? ➤ If yes, country/region of origin:	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.6	Certified Product Information Document (CPID-CE) ➤ Has a Non-Annotated version been provided? ➤ If yes, <input type="checkbox"/> PDF <input type="checkbox"/> Microsoft Word <input type="checkbox"/> other (specify): (Note: a PDF-only version of the CPID is not acceptable) ➤ If SNDS, has an annotated version also been provided? ➤ Has the CPID been saved to Y:\HC\HPFB\TPD\TPD\X_REFERENCE\OPPRS\RPM\CPIDs?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.7	Brand Name Assessment: ➤ Is a Brand Name Assessment Package (LASA) required? ➤ If yes, has it been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.8 1.3.8.3 1.3.8.4/ 5.3.6	Other Requirements: ➤ Risk Management Plan (RMP) submitted? ➤ Have Risk Communications (i.e. risk communications done in other jurisdictions or proposed for Canada) been included in the submission? ➤ If DSURs are included in the submission: ➤ Has the Development Safety Update Report document been added in DSTS? ➤ If PSURs/PBRERs are identified in the submission: ➤ Has the applicable documents been included in DSTS? ➤ If RMP/Risk Communications/PSURs/PBRER were provided, notify MHPD (email the Manager of the Regulatory Project Management group, cc PMC)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Done

MODULE 2 – CTD SUMMARIES

Module	Information	
2.3	Quality Overall Summary (QOS) provided? ➤ Version of QOS provided? <input type="checkbox"/> Health Canada's QOS-CE <input type="checkbox"/> ICH's QOS ➤ Electronic format of QOS: <input type="checkbox"/> PDF <input type="checkbox"/> Microsoft Word (Note: a PDF-only version of the QOS is not acceptable)	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.4	Non-Clinical Overview	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.5	Clinical Overview	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.6	Non-Clinical Written and Tabulated Summaries	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.7	Clinical Summary	<input type="checkbox"/> Yes <input type="checkbox"/> No

For SNDS only: Ensure to screen only the relevant sections as per the Post-NOC Quality Changes Guidance Document, delete all non-applicable sections.

MODULE 3 – QUALITY

Module	Information
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Is the medicinal ingredient in the proposed product labelling consistent with the QOS and CPID? <input type="checkbox"/> Yes <input type="checkbox"/> No																															
MF																															
S.2.1 P.3.1	<p>List Master File (MF) number(s) referenced in the submission (Type I-IV) (<i>Repeat if necessary</i>):</p> <p>Screener completes the grey section only:</p> <table border="1"> <tr> <td>MF #</td> <td></td> </tr> <tr> <td>Supplier (MF Holder)</td> <td></td> </tr> <tr> <td>Access provided to (Sponsor)</td> <td></td> </tr> <tr> <td>MF Name</td> <td></td> </tr> <tr> <td>Date of LOA</td> <td></td> </tr> <tr> <td>LOA Received</td> <td>Yes/No</td> </tr> <tr> <td>LOA fees paid</td> <td>Yes/No</td> </tr> <tr> <td>CEP received the MF (For Type I only) If yes, have the required attestations been included? CEP version number in MF:</td> <td>Yes/No/ n/a Yes/No/ n/a Rx-CEP yyyy-xxx-Rev x</td> </tr> <tr> <td>Has this MF been previously assessed</td> <td>Yes/No</td> </tr> <tr> <td>Previous Reviews with date of last review as recorded in the database (For Type I and IV only)</td> <td>CTL # (Date) / n/a</td> </tr> <tr> <td>Is the MF in electronic format? If no, SDN should be sent by RPM MF Unit to send email to MF holder to convert.</td> <td>Yes/No</td> </tr> <tr> <td>Date of Last Update (Update + fees)</td> <td>DATE :</td> </tr> <tr> <td>Update received after last review of MF as per the information recorded in the database</td> <td>Yes/No / n/a</td> </tr> <tr> <td colspan="2">MF holder email address:</td> </tr> <tr> <td colspan="2">Comments:</td> </tr> </table>	MF #		Supplier (MF Holder)		Access provided to (Sponsor)		MF Name		Date of LOA		LOA Received	Yes/No	LOA fees paid	Yes/No	CEP received the MF (For Type I only) If yes, have the required attestations been included? CEP version number in MF:	Yes/No/ n/a Yes/No/ n/a Rx-CEP yyyy-xxx-Rev x	Has this MF been previously assessed	Yes/No	Previous Reviews with date of last review as recorded in the database (For Type I and IV only)	CTL # (Date) / n/a	Is the MF in electronic format? If no, SDN should be sent by RPM MF Unit to send email to MF holder to convert.	Yes/No	Date of Last Update (Update + fees)	DATE :	Update received after last review of MF as per the information recorded in the database	Yes/No / n/a	MF holder email address:		Comments:	
MF #																															
Supplier (MF Holder)																															
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CEP received the MF (For Type I only) If yes, have the required attestations been included? CEP version number in MF:	Yes/No/ n/a Yes/No/ n/a Rx-CEP yyyy-xxx-Rev x																														
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Is the MF in electronic format? If no, SDN should be sent by RPM MF Unit to send email to MF holder to convert.	Yes/No																														
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Update received after last review of MF as per the information recorded in the database	Yes/No / n/a																														
MF holder email address:																															
Comments:																															
GMP																															
S.2.1 P.3.1	<p>Has the Sponsor included the DEL 'Acknowledgement of Application Acceptance' letter?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>➤ If yes, has the Sponsor waited 90 days before filing the (S)NDS? ➤ If no, verify GMP Compliance for the following activities and sites (<i>Repeat if necessary</i>):</p> <table border="1"> <tr> <td>Activity:</td> <td>e.g. DS Release Testing e.g. DP Manufacturing, Packaging, Labelling, Testing</td> </tr> <tr> <td>Site:</td> <td></td> </tr> <tr> <td>Address:</td> <td></td> </tr> <tr> <td>Status:</td> <td>GMP compliant - new evidence required by [DATE] Confirmed in <input type="checkbox"/> eCES <input type="checkbox"/> IRS</td> </tr> </table> <p>Comments:</p> <p>➤ Are any proposed sites listed in the <i>Sites with Inspectorate Concern</i> document (Y:\HC\HPFB\TPD\TPD\X_REFERENCE\OPPRS\RPM\DP\SPECIAL PROJECTS\GMP\Sites with Inspectorate concern.docx)?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	Activity:	e.g. DS Release Testing e.g. DP Manufacturing, Packaging, Labelling, Testing	Site:		Address:		Status:	GMP compliant - new evidence required by [DATE] Confirmed in <input type="checkbox"/> eCES <input type="checkbox"/> IRS																						
Activity:	e.g. DS Release Testing e.g. DP Manufacturing, Packaging, Labelling, Testing																														
Site:																															
Address:																															
Status:	GMP compliant - new evidence required by [DATE] Confirmed in <input type="checkbox"/> eCES <input type="checkbox"/> IRS																														

	Comments:	<input type="checkbox"/> Yes <input type="checkbox"/> No
S.2.1	<ul style="list-style-type: none"> ➤ Is the API manufactured as sterile? If yes, then: <ul style="list-style-type: none"> ➤ Has a GMP compliant rating of C been issued by the HPFBI for the facilities responsible for the sterilization and lyophilisation of the sterile drug substance? (Flag if NR or conditional compliance rating) ➤ Has a process validation report been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
Drug Substance		
S.4.4	Batch Analyses: <ul style="list-style-type: none"> ➤ Tabulated summary provided for the batches used to support the drug submission studies with clear and specific reference to study numbers, for at least two batches from each proposed manufacturing site of the drug substance? ➤ Certificates of analysis or a detailed tabulated summary for batches used in pivotal clinical studies and/or comparative bioequivalence (not including food effect studies)? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
S.7	Stability: <ul style="list-style-type: none"> ➤ Minimum required stability data provided (under ICH conditions): <ul style="list-style-type: none"> ➤ 12 months long term (NAS) / 6 months accelerated? ➤ 6 months long term (Not NAS) / 6 months accelerated? ➤ 3 batches (SNDS: 2 batches)? ➤ If no, justification provided? <p><i>The requirement for 3 batches for existing drug products (i.e. SNDS) will be in effect October 30, 2019. Until this date, 2 batches are required.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
Drug Product		
P.2	Pharmaceutical Development: <ul style="list-style-type: none"> ➤ Is the proposed commercial formulation the same as the pivotal study formulation? <ul style="list-style-type: none"> ➤ If formulations differ, has a bridging bioequivalence study been provided or a rationale for not conducting a bioequivalence study? ➤ For Literature-based submissions (SRTD), has the sponsor provided the available information such as source, formulation and, where details are provided in the literature, method of preparation, about the drug product administered in studies identified as pivotal in the systematic review? ➤ Has a <i>quality by design</i> model been proposed? ➤ Is there a preservative in the formulation? <ul style="list-style-type: none"> ➤ If yes, has a Preservative Effectiveness Study been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
P.3.3	Description of Manufacturing Process and Process Controls: <ul style="list-style-type: none"> ➤ Detailed information on the manufacturing process provided in either: <ul style="list-style-type: none"> <input type="checkbox"/> Submission <input type="checkbox"/> DMF 	<input type="checkbox"/> Yes <input type="checkbox"/> No
P.3.5/ 3.2.R	<ul style="list-style-type: none"> ➤ Has process validation report or protocol been provided? <p>Documentation required for sterile products only:</p> <ul style="list-style-type: none"> ➤ Has terminal sterilization been used? <ul style="list-style-type: none"> ➤ If no, has a justification been provided? ➤ If drug substance or drug product specifications contain a bacterial endotoxin test, has the validation report for the method been provided? ➤ If diluents are used, have compatibility studies been provided for all proposed diluents? ➤ If sterile filters used, which of the following minimum filter tests were conducted? <ul style="list-style-type: none"> <input type="checkbox"/> Extractables <input type="checkbox"/> Membrane Compatibility <input type="checkbox"/> Filter Integrity ➤ Has validation of sterilization process been provided? ➤ Has validation of sterilization of packaging materials been provided? ➤ Has testing on integrity of Container Closure System been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
P.4	Control of Excipients:	

	<ul style="list-style-type: none"> ➤ Any excipients of human or animal origin? ➤ If yes, BSE/TSE (or EDQM Certificate of Suitability) provided in A.3? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
P.5.4	<p>Batch Analyses:</p> <ul style="list-style-type: none"> ➤ For the batches used in pivotal clinical studies and/or comparative bioequivalence studies (not including food effect studies), which of the following have been provided: <ul style="list-style-type: none"> <input type="checkbox"/> Certificates of analysis <input type="checkbox"/> Complete information from the Certificates of analysis in a tabular format ➤ Tabulated summary provided for the required batches used, with clear and specific reference to pivotal study numbers, for at least three batches of: <ul style="list-style-type: none"> ➤ Each strength ➤ Each dosage form ➤ Each proposed manufacturing site of the drug product 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
P.2/ P.5.5/ P.5.6	<p>Elemental Impurities: NDS (additional requirements):</p> <ul style="list-style-type: none"> ➤ Has a Risk Assessment Summary for Elemental Impurities been included (to be in line with ICH Q3D)? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
P.5.6	<p>Justification of Specifications:</p> <ul style="list-style-type: none"> ➤ Has this section been included and addressed? ➤ If applicable, have the Dissolution method parameters been provided? (note: parameters may be located in P.2) 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
P.7	<p>Container Closure System:</p> <ul style="list-style-type: none"> ➤ Have DMF and/or description of Container Closure System been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
P.8.1	<p>Stability Summary and Conclusions:</p> <ul style="list-style-type: none"> ➤ Minimum required stability data provided (under ICH conditions): <ul style="list-style-type: none"> ➤ 3 batches per strength (SNDS: 2 batches per strength)? ➤ 12 months long term / 6 months accelerated? ➤ If no, justification provided (i.e. bracketing and matrixing)? ➤ Stability data provided in all container closure systems? <p><i>The requirement for 3 batches for existing drug products (i.e. SNDS) will be in effect October 30, 2019. Until this date, 2 batches are required.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
Appendices		
A.2	<p>Adventitious Agents Safety Evaluation:</p> <ul style="list-style-type: none"> ➤ Information provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No
Regional Information		
R.1.1	<p>Executed Production Documents:</p> <ul style="list-style-type: none"> ➤ Copies of the executed production documents provided (in English or French) for the batches used in the pivotal clinical and/or comparative bioavailability studies (not including food effect studies)? <ul style="list-style-type: none"> ➤ Note batch number for batches used in pivotal studies: Note: this is not required for Submissions based on Third Party Data (SRTD) (see Screening Guide) ➤ If a significant number of batches were used in the pivotal and/or bioequivalence studies (not including food effect studies), have representative documentation been provided? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
R.1.2	<p>Master Production Documents:</p> <ul style="list-style-type: none"> ➤ Copies of master production documents (in English or French) provided for each proposed strength, commercial batch size, and manufacturing site? (note – batch records should include formulation, manufacturing and packaging as per the comments in Section R.1.1) 	<input type="checkbox"/> Yes <input type="checkbox"/> No

MODULE 4 – NON-CLINICAL

Summary of Non-Clinical Studies	
The studies provided include the following:	
<input type="checkbox"/> Pharmacology <ul style="list-style-type: none"> <input type="checkbox"/> Drug Interactions 	
<input type="checkbox"/> Pharmacokinetics	
<input type="checkbox"/> Toxicology <ul style="list-style-type: none"> <input type="checkbox"/> Genotoxicity <input type="checkbox"/> Carcinogenicity <input type="checkbox"/> Reproductive Toxicity 	
<input type="checkbox"/> Other:	
For NDS, if no studies, has a rationale been provided? <input type="checkbox"/> Yes <input type="checkbox"/> No	
➤ If yes, location:	

MODULE 5 – CLINICAL TRIALS

1) Pivotal Clinical Study: (repeat if necessary)	
Study Number and Name:	
Study Phase and Title:	
# of patients:	
Dates of study:	
Test product used (and batch #'s):	
If applicable, indicate the comparator product used:	
Data is: <input type="checkbox"/> final <input type="checkbox"/> interim	
Pivotal studies conducted in correct patient population and with correct dosage form and strengths? (relative to proposed PM)	<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If No, has a biostudy, biowaiver or rationale been provided to address this?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Dosage regimen acceptable? (compared against proposed PM)	<input type="checkbox"/> Yes <input type="checkbox"/> No

2) Non-Pivotal Clinical Study: (repeat if necessary)	
Study Number and Name:	
Study Title and Phase:	
# of patients:	
Dates of study:	

3) QT Prolongation Study:	
Study Number and Name:	
Study Title:	
# of patients:	
Dates of study:	
➤ If no study, has a rationale been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No
➤ If yes, provide location:	

4) CRFs (As of May 19 2015, CRFs are no longer required at screening but can be requested during review.)	
Have any CRFs been provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No

MODULE 5 – BIOPHARMACEUTICS (Bioequivalence or Bioavailability Data)

1) Pivotal Food Effect Study: <i>(delete if not required)</i>	
Study Number:	
Title of Pivotal Study:	
Test Product (including strength and batches/lots used):	
Study Type:	<input type="checkbox"/> Single Dose <input type="checkbox"/> Steady State <input type="checkbox"/> Fed <input type="checkbox"/> Fasted ➤ As fasted, single-dose is the preferred applied study, has a justification/rationale been provided, if not conducted: <input type="checkbox"/> Yes <input type="checkbox"/> No
CS:BE is completed (Word format): <input type="checkbox"/> Yes <input type="checkbox"/> No	
PK data files provided in: <input type="checkbox"/> .inf <input type="checkbox"/> .dat <input type="checkbox"/> ASCII	
Has sponsor confirmed that they complied with the Notice: Clarification of bioanalytical method validation procedures (October 8, 2015)?: https://www.canada.ca/en/health-canada/services/drugs-health-products/drug-products/announcements/notice-clarification-bioanalytical-method-validation-procedures.html <input type="checkbox"/> Yes <input type="checkbox"/> No	
DBE Review required? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If no study, has a rationale been provided? <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ If yes, provide location:	

2) Pivotal Comparative Bioavailability Study: <i>(delete if not required)</i>	
Study Number:	
Title of Pivotal Study:	
Test Product (including strength and batches/lots used):	
Reference Product (including strength and batches/lots used):	
Study Type:	<input type="checkbox"/> Single Dose <input type="checkbox"/> Steady State <input type="checkbox"/> Fed <input type="checkbox"/> Fasted ➤ As fasted, single-dose is the preferred applied study, has a justification/rationale been provided, if not conducted: <input type="checkbox"/> Yes <input type="checkbox"/> No
Analyte measured: <input type="checkbox"/> Parent <input type="checkbox"/> Metabolite	
CS:BE is completed (Word Format): <input type="checkbox"/> Yes <input type="checkbox"/> No	
PK data files provided in: <input type="checkbox"/> .inf <input type="checkbox"/> .dat <input type="checkbox"/> ASCII	
Have any study waivers been requested: <input type="checkbox"/> Yes <input type="checkbox"/> No ➤ If yes, describe:	
Has sponsor confirmed that they complied with the Notice: Clarification of bioanalytical method validation procedures (October 8, 2015)?: https://www.canada.ca/en/health-canada/services/drugs-health-products/drug-products/announcements/notice-clarification-bioanalytical-method-validation-procedures.html <input type="checkbox"/> Yes <input type="checkbox"/> No	
DBE Review required? <input type="checkbox"/> Yes <input type="checkbox"/> No	

MODULE 5 – CLINICAL - Published Literature

➤ Is the pivotal evidence provided for the indication(s) solely based on publically available published articles (no clinical trial data)? ➤ If no, the submission is not considered an SRTD. Use box 1 ➤ If yes, the submission is considered an SRTD. Use box 2	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Box 1) Summary of Literature Provided (No. of studies and location)

Box 2) Published Literature as per [Guidance Document: Drug Submissions Relying on Third-Party Data \(Literature and Market Experience\)](#)

In addition to meeting the C&M and labelling requirements, the following clinical requirements should be met in the submission:

Prior to completing this information, verify docuBridge for HC approved meeting minutes on any pre-filing agreements on the SRTD submission and include additional information below, as necessary:

1. Has a rationale supporting SRTD filing to explain why a conventional drug submission was not assembled provided in the submission? Yes No
➤ **Provide a brief summary of the rationale:**

2. Has evidence, based on comparative pharmaceutical and/or comparative bioavailability data, to establish that the product used in studies reported in the literature (i.e. reference product) is representative of the proposed commercial product, been provided? Yes No
➤ If yes, indicate the product reported in the literature:

Note: Clinical studies reported in the literature and included in the submission will not be considered sufficient to establish the clinical safety and efficacy required by the Regulations unless it is demonstrated that the proposed commercial product will have the same in vivo performance as the reference product used in the studies reported in the literature.

3. Are the proposed indications, route of administration, patient population, and strength on the proposed PM the same as those for the Reference Product in the literature? Yes No

4. Has evidence of extensive current foreign market experience with the same medicinal ingredient (for a minimum of 10 years under the same conditions of use), or evidence that the same medicinal ingredient is currently or has previously been marketed in Canada (under the same conditions of use) been provided in the submission? Yes No

5. Has a systematic review using the methodology outlined in the [Cochrane Handbook for Systematic Reviews of Interventions](#) and presented in the form as outlined in the Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) statement been provided in the submission? (Refer to the [Guidance Document: Drug Submissions Relying on Third-Party Data \(Literature and Market Experience\)](#) for additional information on systematic reviews. Yes No

6. Have additional supporting information been provided (e.g., foreign reviews)? Yes No
➤ If yes, list them here:

SCREENING 1 - SUMMARY

Screening resulted in: Accept SDN Reject

The following comments should be forwarded to the sponsor: *(delete if not required)*

<if applicable, enter SDN comments here>

<if applicable, enter Clarifax comments here>

This Regulatory Report has been signed electronically using the Health Canada docuBridge system.

.....
<Name> date
Regulatory Project Manager
<Bureau>, TPD

SCREENING 1 (response to SDN) - SUMMARY (delete if not required)

SDN response resulted in: Accept Reject

<Identify SDN issues, if they were addressed and where in the submissions>

This Regulatory Report has been signed electronically using the Health Canada docuBridge system.

.....
<Name> date
Regulatory Project Manager
<Bureau>, TPD

SCREENING 1 (response to NOD) - SUMMARY (delete if not required)

NOD response resulted in: Accept Reject

<Identify NOD issues, if they were addressed and where in the submissions>

This Regulatory Report has been signed electronically using the Health Canada docuBridge system.

.....
<Name> date
Regulatory Project Manager
<Bureau>, TPD

SCREENING 2 (response to NON) - SUMMARY (delete if not required)

NON response resulted in: Accept Reject

<Identify NON issues, if they were addressed and where in the submissions>

This Regulatory Report has been signed electronically using the Health Canada docuBridge system.

.....
<Name> date
Regulatory Project Manager
<Bureau>, TPD

-----**END OF SCREENING REPORT**-----

Appendix 1: Summary of Batch Analyses for Clinical Studies for [Brand Name] ((S)(A)NDS, Control No. XXXXXX)

Reference: Guidance Document: Quality (Chemistry and Manufacturing) Guidance: New Drug Submissions (NDSs) and Abbreviated New Drug Submissions (ANDSs) (Effective date: 2018/01/30)

Study Number	Is the study considered pivotal? (Yes/No)	Drug Product Description (Strength/dosage form/formulation)	Drug Product			Drug Substance (repeat if necessary)		
			Lot Number	Manufacturing site	Location of Tabulated Summary or CoA within submission	Lot Number	Manufacturing site	Location of CoA within submission