

## Swiss Module 1 Specification for eCTD

|                 |   |
|-----------------|---|
| Authors:        | Lead: Ralph Maier, Swissmedic<br>Review team Swissmedic |
| Responsible:    | OSS, Swissmedic   |
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### 1 Document Control

#### Change Record

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## 2 List of Abbreviations

|       |  |
|-------|--|
| App.  | Appendix   |
| CH    | Switzerland  |
| CL    | Checklist  |
| CTD   | Common Technical Document  |
| DMF   | Drug Master File   |
| DTD   | Document Type Definition   |
| eCTD  | electronic Common Technical Document   |
| EMA   | European Medicines Agency  |
| EU    | European Union   |
| FDA   | Food and Drug Administration   |
| FO    | Form   |
| GMO   | Genetically Modified Organisms   |
| GMP   | Good Manufacturing Practice  |
| ICH   | International Conference on Harmonisation  |
| INN   | International Non-Proprietary Name   |
| LoQ   | List of Questions  |
| TPA   | Federal Law on Medicinal Products and Medical Devices (Therapeutic Products Act) |
| N/A   | Not applicable   |
| PSUR  | Periodic Safety Update Report  |
| SIMES | Solutions for the Implementation and Management of Electronic Submissions        |
| SmPC  | Summary of Product Characteristics   |
| TSE   | Transmissible Spongiform Encephalopathy  |
| XML   | Extensible Markup Language   |
| OSS   | Operational Support Services Division at Swissmedic                              |

## 3 Introduction

This document specifies Module 1 for an eCTD submission in Switzerland. eCTD is a format for electronic-only submissions to the Swiss Agency for Therapeutic Products (Swissmedic).

The focus of the specification is to provide the ability to transfer the application electronically from industry to Swissmedic. Industry to industry, Swissmedic to other agencies, other agencies to Swissmedic and Swissmedic to industry transfer are not addressed in this document.

This document should be read together with the ICH eCTD Specification to prepare a valid eCTD submission in Switzerland. The latest version of the ICH eCTD Specification can be found at <http://estri.ich.org/eCTD/index.htm>

## 4 Swiss Module 1: Regional Information

The ICH Common Technical Document (CTD) specifies that Module 1 should contain region-specific administrative and product information depending on the type of application.

Appendix 1 gives a detailed overview of the structure of the Swiss Module 1. Depending on the type of application, the phase of the application and the type of product, not all elements need to be provided.

Appendix 2 includes the envelope and all application types.

Please refer to the documents *Swissmedic Guidance for Industry on Providing Regulatory Information in eCTD Format* (subsequent Swissmedic Guidance for Industry) and the *VZ Overview of documents* to be submitted for further information. These documents are available on Swissmedic's website.

## 5 Swiss File Formats

The file formats that can be included in Module 1 are given in Table 1. PDF, as defined by the ICH eCTD Specification, is the only format generally acceptable. Other formats may be accepted e.g. XML, image and archive, but are not recommended. If a submission containing these formats is planned, please liaise with Swissmedic before submission. Note that all PDF files included in an eCTD (irrespective of the module) should be v1.4, v1.5, v1.6 or PDF v1.7.

**Table 1 Acceptable file formats for Module 1**

| Document   | File Format | Remark   |
|--|-------------|--|
| Cover letter   | PDF         | Scanned document with the original signature is mandatory.<br>Note that this does not apply to portal submissions.   |
| Administrative forms   | PDF         | Scanned documents with the original signature are mandatory.<br>Note that this does not apply to portal submissions.   |
| Product information text:<br>Draft packaging material or<br>mock-ups | PDF<br>PDF  | Include working documents as word file (.doc or .docx, please refer to the guidance document) in addition to the PDF for the product information, for ease of review.* |
| Other  | PDF         | PDF preferably generated from electronic source.   |

\*For the correct naming of the files please refer to the Swissmedic Guidance for Industry. In addition, the PDF files should follow the general ICH requirements of Modules 2 to 5 regarding size limitations, security settings/password protection etc. Files, folders or submissions must not be zipped.

Other file formats such as .doc or .docx may be required in addition to the PDF requirement of the eCTD.

These files should not be added as leaf elements (documents) within the eCTD structure. They should be provided in a separate folder called "<eCTD sequence>-workingdocuments" (e.g. 0000-workingdocuments) on the CD/DVD containing the eCTD or should be uploaded on the Swissmedic Portal. Please refer to the Swissmedic Guidance for Industry for guidance on the structure of this working documents folder.

## 6 General Conventions Using Module 1

### 6.1 Use of Electronic Signatures

Currently, the use of electronic signatures for electronic submissions is not supported and should therefore not be used. A document containing electronic signatures will be accepted, but the electronic signature will be ignored.

The Swissmedic Portal provides means of authentication which allow electronic submissions without electronic signature.

Please refer to the *Swissmedic Guidance for Industry* and the *MB Swissmedic eGov Portal – Standard functions* for further details.

## 6.2 Links

Links among objects in the eCTD submission should be relative. The intention is to make the eCTD submission self-contained.

Links among objects in Module 1 are allowed. Hyperlinks from Module 1 to other modules are allowed. Some documents require a specific way of linking and using links. For detailed requirements please refer to the *Swissmedic Guidance for Industry*, the *Verwaltungsverordnung Anleitung Anforderung an die Arzneimittelinformation von Humanarzneimitteln* and the *WL Formal Requirements*.

## 6.3 Handling of Empty or Missing eCTD Sections

For new applications (including generic applications), detailed statements justifying the absence of data or specific CTD sections should be provided in the relevant Quality Overall Summary and/or Non-Clinical/Clinical Overviews (Module 2.3, 2.4, 2.5). Note that placeholder documents highlighting 'no relevant content' should not be placed in the eCTD structure, as these would create a document life cycle for non-existent documents, and lead to unnecessary complication and maintenance of the eCTD. If relevant, a justification for empty sections in Module 1 has to be provided in the cover letter.

## 7 General Architecture of Module 1

The Swiss Module 1 architecture is similar to that of Modules 2 to 5 of the eCTD, comprising a directory structure and a backbone with leaves. The backbone must be a valid XML document according to the Swiss Document Type Definition (DTD). The backbone (the *ch-regional.xml* file) contains metadata for the leaves, including pointers to the files in the directory structure. In addition, the Swiss DTD defines metadata at the submission level in the form of an envelope. The root element is *ch-backbone* and contains two elements: *ch-envelope* and *m1-ch*.

The CH DTD is modularised, i.e. the envelope and leaves are referenced from the main part of the DTD as external entities called respectively *ch-envelope.mod* and *ch-leaf.mod*. The CH *leaf* is identical to the leaf element described in the ICH eCTD DTD; reference is made to Table 6-8 of the ICH eCTD Specification. A full description of the CH DTD can be found in Appendix 5 of this specification.

Appendix 3 of this specification shows a screenshot of the eCTD structure displayed by an XML viewing tool. The leaves need to be equipped with information according to the requirements for a given type of application. The leaf titles should be short and meaningful.

Note that files can be referred to across modules i.e. content files in Modules 2 to 5 (in the *index.xml*) can be referred to from the *ch-regional.xml* (Module 1) and vice versa.

The eCTD contains more than documents and requires the applicant to deliver technical information such as the DTD, the MD5 checksum, additional metadata, and other information. The files that are required by Swissmedic in addition to the documents are as follows:

Top level folder:

- *index.xml*: eCTD backbone file, the table of content
- *index-md5.txt* the MD5 checksum file

Util folder:

- *dtd* folder File folder for document type definition files
- *style* folder File folder for style sheet

DTD folder:

- ch-envelope.mod
- ch-leaf.mod
- ch-regional.dtd                      Swissmedic regional DTD
- ich-ectd-3-2.dtd                      ICH DTD

Style folder:

- ch-regional.xsl                      Swiss regional style sheet file
- ectd-2-0.xsl                          ICH style sheet file

## 7.1 Envelope

The *ch-envelope* element is designed to be used for all types of applications for a given medicinal product and will mainly be used for the initial processing at the agency level. The envelope provides metadata at the submission level. A description of each envelope element is provided in Appendix 2 of this specification.

## 7.2 m1-ch

The *m1-ch* element of the Swiss DTD is based on the same conceptual approach as the common part of the ICH eCTD DTD. It provides an XML catalogue with metadata at the leaf level including pointers to the location of files in a directory structure. As for the ICH eCTD DTD, the *m1-ch* element maps to the directory structure.

## 7.3 Directory / File Structure

The Swiss Module 1 Specification provides a directory and highly recommended file structure (see Appendix 1).

## 7.4 Node Extensions

Node extensions are a way of providing extra organisational information to the eCTD.

The node extension should be visualised as an extra heading in the CTD structure.

The following rules apply to node extensions in Swiss eCTDs:

- Node extensions must not be used where ICH-specified sub-headings already exist (e.g. indication, manufacturer, drug substance, drug product are all-ICH specified node extensions).
- Node extensions must only be used at the lowest level of the eCTD structure (for example a node extension can be used at the level 5.3.5.1 but must not be used at the level 5.3).
- Node extensions should be used to group together documents made up of multiple leaf elements (e.g. a clinical study made up of separate files for the synopsis, main body and individual appendices) Please refer to the Swissmedic Guidance for Industry for further information.
- Node extensions must be maintained over the entire eCTD life cycle (e.g. a node extension is used in sequence 0000 to group files for a study report in module 5.3.5.1, then any files for this study report submitted in a later eCTD sequence must also be placed under this node extension. Any operations on files must be used in this specific node extension.)
- Node extensions may be nested as this is allowed by the eCTD DTD. However, as noted in bullet 2, the first node extension must be at the lowest level in the eCTD structure (e.g. in Module 5.3.7 a node extension may be added to group together files with the Study Identifier

as Title attribute). Further node extensions may be added as children of the Study Identifier node, separating CRFs from individual patient listings.

## 7.5 File Naming Convention

Filenames have fixed and variable components. Components are separated by a hyphen. No hyphens or spaces should be used within each component.

Using fixed components is highly recommended. The variable component is optional and should be used as appropriate to further define these files. The variable component, if used, should be a meaningful concatenation of words without separation and should be kept as brief and descriptive as possible. File extensions in line with this specification should be applied as applicable.

The first component in a filename of a Swiss specific document should be the country code of Switzerland (ch). Documents which are not Swiss-specific do not need this country code to allow re-use of these files for other submissions in other countries without rework. The second component should be the document type code, as per Appendix 1, Table 3. A variable third element can be added if needed. In cases where differentiation is needed (for example between 1.5mg and 15mg), it is suggested that the word *point* is written in full i.e. *1point5mg*.

There are no recommendations for variable components in this specification. The format of the file is indicated by the file extension. Filenames should always be in lower case, in line with the ICH eCTD Specification. For more details see Appendix 1, Tables 1 and 4

Examples:

ch-cover.pdf  
ch-fofulldecl.pdf  
nn-gmpcert.pdf  
ch-responses-quality.pdf  
ch-packaging-tablet10mg.pdf

## 7.6 Folder and Filename Path Length

The overall folder and filename path length starting from the sequence number should not exceed 180 characters for any file in any module. This is a CH regional requirement (similar to the EU specification), and it is acknowledged that this is less than the ICH agreed overall path length.

## 8 Change Control

The Swiss Module 1 Specification is likely to change with time. Factors that could affect the content of the specification include, but are not limited to:

- Change in the content of the Module 1 for the CTD, either through the amendment of information, at the same level of detail, or by provision of more detailed definition of content and structure
- Change to the regional requirements for applications that are outside the scope of the CTD
- Update of standards that are already in use within the eCTD
- Identification of new standards that provide additional value for the creation and/or usage of the eCTD
- Identification of new functional requirements
- Experience of use of the eCTD by all parties, in particular Module 1.

Please refer to the change control process outlined in the Q&A document.



## 9 Appendices

### Appendix 1: Directory / File Structure for Module 1

The following table gives an overview on the contents of Module 1. The current practice has to be taken into account to define which documents are needed according to the application types, and the documents listed below should be provided where applicable. Please refer to the TPA, the related ordinances and the Swissmedic Guidance for Industry to identify which documents need to be included in the submission.

Filenames have fixed and variable components. Components are separated by a hyphen. No hyphens or spaces should be used within individual components.

The fixed components are defined in the table below. A filename is composed as follows: cc-fixedcomponent-variablecomponent.ext, where cc is used as a placeholder for the country code (see also Table 3). For each leave described below node extensions are allowed.

Please note: In general, Swissmedic will now refer to the term *galenic form* as *pharmaceutical form*. For technical reasons the old term *galenic form* will still be used throughout this document and the technical files. There are no changes as to the handling of the term in the context of eCTD.

Product life cycles with more than one galenic form contain a common folder in Module 1. Table 1 provides guidance on whether specific documents can be shifted from the galenic form folder to the common folder while introducing a second galenic form. In this case the documents located in the galenic form folder should be deleted (operator is *delete*) and added in the common folder (operator is *new*). Furthermore, Table 1 provides guidance regarding the use of operators in life cycle management.

**Table 1: Overview on the content of the Swiss Module 1 and their operations in follow-up submissions:**

| No    | Title   | Fixed Component of Filename | Possible shift to the folder <i>common</i> in M1 with 2 <sup>nd</sup> galenic form | Life Cycle Operator on Document Level |
|-------|---|-----------------------------|--|---------------------------------------|
| 1.0   | Cover Letter  | cover                       | -  | New or Replace***                     |
| 1.2   | Application for Marketing Authorisation and Variation |                             | -  |                                       |
| 1.2.1 | Form - Application                                    | foapplvar                   | -  | New                                   |
| 1.2.2 | Forms - Additional                                    | foadd                       | -  | New                                   |



| No         | Title   | Fixed Component of Filename | Possible shift to the folder<br><i>common</i> in M1 with 2 <sup>nd</sup> galenic form | Life Cycle Operator on Document Level |
|------------|---|-----------------------------|---|---------------------------------------|
| 1.2.2.1.   | Form Full Declaration                                       | fofulldecl                  | -   | Replace*                              |
| 1.2.2.2    | Form Manufacturer Information                               | fomanufacturer              | -   | Replace*                              |
| 1.2.2.3    | Form Status Marketing Authorisations Abroad                 | fostatusma                  | -   | New or Replace**                      |
| 1.2.2.4++  |   |                             |   |                                       |
| 1.2.2.5++  |   |                             |   |                                       |
| 1.2.2.6++  |   |                             |   |                                       |
| 1.2.2.7++  |   |                             |   |                                       |
| 1.2.2.8    | Form Substances of Animal or Human Origin                   | foanimalhuman               | -   | Replace*                              |
| 1.2.2.9++  |   |                             |   |                                       |
| 1.2.2.10++ |   |                             |   |                                       |
| 1.2.2.11++ |   |                             |   |                                       |
| 1.2.2.12++ |   |                             |   |                                       |
| 1.2.2.13   | Form Change of Marketing Authorisation Holder               | fochangemah                 | -   | New                                   |
| 1.2.2.14++ |   |                             |   |                                       |
| 1.2.2.15++ |   |                             |   |                                       |
| 1.2.2.16   | Form PSUR/PBRER for Human Medicines                         | fopsur                      | -   | New                                   |
| 1.2.2.17   | Form Declaration Radiopharmaceuticals                       | foradio                     | -   | Replace*                              |
| 1.2.2.18   | Form Confirmation Regarding Substances from GMO             | fogmo                       | -   | Replace *                             |
| 1.2.2.19   | Form DMF  | fodmf                       | -   | New                                   |
| 1.2.2.20   | Form Information Relating to Applications under Art. 13 TPA | foart13                     | -   | Replace*                              |
| 1.2.2.21++ |   |                             |   |                                       |
| 1.2.2.22++ |   |                             |   |                                       |
| 1.2.2.23   | Form Application for Recognition of Orphan Drug Status      | forecogorphan               | -   | New                                   |
| 1.2.2.24++ |   |                             |   |                                       |
| 1.2.2.25   | Form PIP  | fopip                       | -   | New                                   |

| No       | Title   | Fixed Component of Filename | Possible shift to the folder <i>common</i> in M1 with 2 <sup>nd</sup> galenic form | Life Cycle Operator on Document Level |
|----------|---|-----------------------------|--|---------------------------------------|
| 1.2.2.26 | GCP Inspections   | gcpinsp                     | X  | Replace*                              |
| 1.2.2.99 | Other Forms [extensional sections allowed]                                    | footer                      | -  |                                       |
| 1.2.3    | Annexes - Documents on Drug Quality   |                             | -  |                                       |
| 1.2.3.1  | DMF Letter of Access  | dmfletter                   | X  | New                                   |
| 1.2.3.2  | Ph. Eur. Certificate of Suitability for Active Substance                      | cosas                       | X  | New or Replace**                      |
| 1.2.3.3  | Ph. Eur. Certificate of Suitability for TSE                                   | costse                      | X  | New or Replace**                      |
| 1.2.3.4  | EMA Certificate for Plasma Master File (PMF)                                  | emacertpmf                  | X  | New or Replace**                      |
| 1.2.3.5  | EMA Certificate for Vaccine Antigen Master File (VAMF)                        | emacertvamf                 | X  | New or Replace**                      |
| 1.2.4    | Annexes – Manufacturing   |                             | -  |                                       |
| 1.2.4.1  | GMP Certificate or Other GMP Documents  | gmpcert                     | X  | New or Replace**                      |
| 1.2.4.2  | Documentation Concerning Manufacturing Authorisation                          | docmanuf                    | X  | Replace*                              |
| 1.2.4.3  | Complete Manufacturing Information with Flow Chart                            | manufflowchart              | -  | Replace*                              |
| 1.2.4.4  | Confirmation on GMP Conformity  | gmpconform                  | -  | New                                   |
| 1.2.5    | Annexes – Others  |                             | -  |                                       |
| 1.2.5.1  | Comparison of Approved Information for Professionals with EU SmPC (for PSURs) | smpcprofcompar              | -  | Replace*                              |
| 1.2.5.2  | Company Core Data Sheet (for PSURs)   | ccds                        | X  | Replace*                              |
| 1.3      | Product Information and Packaging Material                                    |                             | -  |                                       |
| 1.3.1    | Information for Professionals   | prof                        | X  | New or Replace*                       |
| 1.3.2    | Patient Information   | patient                     | X  | New or Replace**                      |
| 1.3.3    | Packaging Information   | packaging                   | -  | Replace*                              |
| 1.3.4    | Information for Professionals from Other Countries                            | profother                   | X  | New or Replace**                      |
| 1.4.     | Information About the Expert  |                             | -  |                                       |
| 1.4.1    | Quality   | quality                     | X  | New                                   |
| 1.4.2    | Nonclinical   | nonclinical                 | X  | New                                   |

| No      | Title  | Fixed Component of Filename | Possible shift to the folder<br><i>common</i> in M1 with 2 <sup>nd</sup> galenic form | Life Cycle Operator on Document Level |
|---------|--|-----------------------------|---|---------------------------------------|
| 1.4.3   | Clinical   | clinical                    | X   | New                                   |
| 1.5     | Data of Bioavailability Studies (Known Active Substance without Innovation)                  |                             | -   |                                       |
| 1.5.1   | Information according to Appendix IV of the Guideline on the Investigation on Bioequivalence | bioequivalence              | -   | New                                   |
| 1.5.2   | Documents on the Reference Product   | bioreference                | -   | New                                   |
| 1.5.3++ |  |                             |   |                                       |
| 1.6     | Environmental Risk Assessment  |                             | -   | Replace*                              |
| 1.6.1   | Non-GMO  | nongmo                      | X   | Replace*                              |
| 1.6.2   | GMO  | gmo                         | X   | Replace*                              |
| 1.7     | Decisions of Foreign Authorities   |                             | -   |                                       |
| 1.7.1   | Responses to LoQ   | responses                   | -   | New                                   |
| 1.7.2   | Assessment Report  | ar                          | -   | New                                   |
| 1.7.3   | EU Decision  | eudecision                  | -   | New                                   |
| 1.7.4   | FDA Decision   | fdadecision                 | -   | New                                   |
| 1.7.5   | Decisions of Other Foreign Authorities   | decisionothers              | -   | New                                   |
| 1.7.6   | Article 13 TPA Additional Documentation  | art13adddoc                 | -   | New or Replace**                      |
| 1.8     | Information Relating to Pharmacovigilance  |                             | -   |                                       |
| 1.8.1   | Pharmacovigilance System   | phvigsystem                 | X   | Replace*                              |
| 1.8.2   | Risk-Management System   | riskmgtsystem               | X   | Replace*                              |
| 1.9     | Fast Track Status Decision   | fasttrack                   | -   | New                                   |
| 1.10    | Information Relating to Paediatrics  | paediatrics                 | -   | Replace*                              |
| 1.11    | Orphan Drug Status Decision  | orphandrug                  | X   | New                                   |
| 1.12    | Art 14 Sec 1 Let abis-quater TPA Documents   |                             | -   |                                       |
| 1.12.1  | Proof of 10 Years EU/EFTA Authorisation  | eueftaproof                 | -   | New                                   |

| No     | Title  | Fixed Component of Filename | Possible shift to the folder<br><i>common in M1 with 2<sup>nd</sup> galenic form</i> | Life Cycle Operator on Document Level |
|--------|--|-----------------------------|--|---------------------------------------|
| 1.12.2 | 10 Years EU/EFTA Authorisation - Documents on the Reference Product  | eueftacompar                | -  | New                                   |
| 1.12.3 | Proof of 30 Years Overall Medical Use - 15 Years Medical Use EU/EFTA | meduseproof                 | -  | New                                   |
| 1.12.4 | Proof of 15 Years Cantonal Authorisation                             | cantauthproof               | -  | New                                   |
|        | Responses to Swissmedic LoQ  | responses                   | -  | New                                   |
|        | Additional Information   | additionalinfo              | -  | New or Replace**                      |

\* The first time a document is integrated into the eCTD, the operator will always be *new*. Throughout the life cycle, the operator should be *replace*.

\*\* If different documents are integrated in parallel into the eCTD for the first time, the operator for each of them will be *new*. Changes to one specific document throughout the life cycle require the operator *replace*.

+ CPMP/EWP/QWP/1401/98 Rev.1

++ This section is no longer applicable. The folder remains for life cycle maintenance.

\*\*\* The operator for the Cover Letter must be *new* whereas the operator for the Tracking Table should be *replace*.

The directory/file structure is defined in this appendix as a table containing the following information:

**Table 2**

|                   |                  |   |
|-------------------|------------------|---|
| Sequential number |                  | Each item in the table has a unique sequentially assigned reference number. These reference numbers can change with each version of this appendix.  |
|                   | Number           | CTD section number  |
|                   | Title            | CTD title   |
|                   | Element          | Element name in the CH backbone   |
|                   | File - Directory | File - Directory name from m1/ch – should be a relative path from ch/m1 e.g. 10-cover/ch-cover.pdf. This is consistent with ICH standards. The file extension corresponds to the file type; i.e. the <i>pdf</i> extension is only illustrative. |
|                   | Comment          | Comments  |

Where the following conventions are used:

**Table 3**

| <b>Codes*</b>          | <b>Definition</b>   |
|------------------------|---|
| CC **                  | Country code  |
| FIXED                  | Fixed component of the filename (see Table 1)                               |
| VAR *                  | Variable component of the filename  |
| EXT                    | File extension, usually pdf   |
| DDDD                   | A eCTD Sequence number made of 4 digits (e.g. 0000)                         |
| galenic-form<br>common | Placeholder for either the dosage form-specific folder or the common folder |

\* The names of the actual files and directories used should be presented in lower case in accordance with the eCTD specification. The use of upper case for codes is for illustrative purposes only to show differentiation between the variable parts and the fixed part of the name.

The variable component, when used, should be a logical name and preceded by a hyphen. The variable component itself must not contain a hyphen or spaces itself, e.g. ch-foapplvar-tablets10mg.pdf.

When only one component is submitted in a directory, it is recommended that there is no variable component in the filename. E.g. when only the cover letter is submitted in the directory, the filename should be ch-cover.pdf.

\*\* CC is used as a placeholder when a document is not Swiss-specific, but is assigned to a specific country (for example ema-certpmf.pdf). For Swiss-specific documents CC is replaced by ch (for example ch-forenewal.pdf). For documents not assigned to a specific country, CC is replaced by common (for example common-gmpcert.pdf, see Table 4). For the countries the relevant EU M1 eCTD Spec 2.0, Appendix 2.1 country code has to be used. Exceptions: If the *country* is EU, ema or emea as country code can be used. For United Kingdom, uk and for Greece, el can be used.

**Table 4: Directory / File Structure for Swiss Module 1**

Please note: In general, Swissmedic will now refer to the term *galenic form* as *pharmaceutical form*. For technical reasons the old term *galenic form* will still be used throughout this document and the technical files. There are no changes as to the handling of the term in the context of eCTD.

A separate folder structure should be created for each galenic form. The term *galenic-form* is used as a placeholder for the actual galenic form. It is highly recommended that the English terms as defined in the EU standard terms are used. Documents applicable for all galenic forms should be

placed in a common folder instead of the galenic form folder. Please refer also to Table 1 in Appendix 1 and Appendix 2. For further information regarding Granularity and Life Cycle Management see Swissmedic Guidance for Industry, chapters 3 and 5.

|   |           |  |
|---|-----------|--|
| 1 | Number    |  |
|   | Title     |  |
|   | Element   |  |
|   | File      | m1/ch/ch-regional.xml  |
|   | Comment   | The Swiss Regional XML instance including the envelope information. Note that the operation attribute for the ch.regional.xml should always be set to 'new'.   |
| 2 | Number    |  |
|   | Title     | Module 1 CH  |
|   | Element   | m1-ch  |
|   | Directory | m1/ch/   |
|   | Comment   | Top level directory for the Swiss Module 1 as per ICH eCTD Specification   |
| 3 | Number    |  |
|   | Title     | Galenic Form   |
|   | Element   | m1-galenic-form  |
|   | Directory | m1/ch/ <i>galenic-form</i>   |
|   | Comment   | In general, Swissmedic will now refer to the term <i>galenic form</i> as <b>pharmaceutical form</b> . For technical reasons the old term <i>galenic form</i> will still be used throughout this document and the technical files. There are no changes as to the handling of the term in the context of eCTD. The galenic form should be included in the file path e.g. tablet, capsule etc. The M1 directory structure should be provided with each galenic form. For example, tablets, with all relevant m1 sub-directories, followed by capsules, with all relevant sub-directories. Where files are shared between all galenic forms a 'common' directory should be created with all relevant sub-directories. The name of the galenic form should be provided according to EU standard terms (e.g. tablets, capsules). It is highly recommended that the denomination of the galenic form is identical in the envelope and for the files. A self-explanatory abbreviation can be used. Attributes and folder name need not to be similar. |
| 4 | Number    | 1.0  |
|   | Title     | Cover Letter   |
|   | Element   | m1-0-cover   |
|   | Directory | m1/ch/ <i>galenic-form</i> /10-cover   |
|   | File      | m1/ch/ <i>galenic-form</i> /10-cover/ch-cover-VAR.EXT  |

|   |           |  |
|---|-----------|--|
|   | Comment   | Filename for the Cover Letter composed of a fixed component <i>ch</i> , a fixed component <i>cover</i> and an optional variable component if required (e.g. <i>ch-cover-variationrationale.pdf</i> ).  |
| 5 | Number    | 1.2  |
|   | Title     | Application for Marketing Authorisation and Variation  |
|   | Element   | m1-2-applvar   |
|   | Directory | m1/ch/ <i>galenic-form</i> /12-foapplvar   |
|   | Comment   |  |
| 6 | Number    | 1.2.1  |
|   | Title     | Form - Application   |
|   | Element   | m1-2-1-foapplvar   |
|   | Directory | m1/ch/ <i>galenic-form</i> /12-foapplvar/121-foapplvar   |
|   | File      | m1/ch/ <i>galenic-form</i> /12-foapplvar/121-foapplvar/ch-foapplvar- <i>VAR.EXT</i>  |
|   | Comment   | Filename for the Form Application for Authorisation / Variation Human Medicines composed of a fixed component <i>ch</i> , a fixed component <i>foapplvar</i> and an optional variable component if required (e.g. <i>ch-foapplvar-newdosagestrength.pdf</i> ). |
| 7 | Number    | 1.2.2  |
|   | Title     | Forms - Additional   |
|   | Element   | m1-2-2-form-add  |
|   | Directory | m1/ch/ <i>galenic-form</i> /12-foapplvar/122-form-add  |
|   | Comment   |  |
| 8 | Number    | 1.2.2.1  |
|   | Title     | Form Full Declaration  |
|   | Element   | m1-2-2-1-form-full-declaration   |
|   | Directory | m1/ch/ <i>galenic-form</i> /12-foapplvar/122-form-add/1221-formfulldecl  |
|   | File      | m1/ch/ <i>galenic-form</i> /12-foapplvar/122-form-add/1221-formfulldecl/ch-fofulldecl- <i>VAR.EXT</i>  |
|   | Comment   | The filename for the Form Full Declaration is composed of a fixed component <i>ch</i> , a fixed component <i>fofulldecl</i> and an optional variable component to be used as required (e.g. <i>ch-fofulldecl.pdf</i> ).  |
| 9 | Number    | 1.2.2.2  |
|   | Title     | Form Manufacturer Information  |



|    |           |  |
|----|-----------|--|
|    | Element   | m1-2-2-2-form-manufacturer-information   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/1222-formmanufacturerinfo                           |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/1222-formmanufacturerinfo/ch-fomanufacturer-VAR.EXT |
|    | Comment   |  |
| 10 | Number    | 1.2.2.3  |
|    | Title     | Form Status Marketing Authorisations Abroad  |
|    | Element   | m1-2-2-3-form-status-marketing-authorisations-abroad   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/1223-formstatusmaabroad/                            |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/1223-formstatusmaabroad/ch-fostatusma-VAR.EXT       |
|    | Comment   |  |
| 11 | Number    | 1.2.2.4  |
|    | Title     | Form Variation Requiring Notification  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.             |
| 12 | Number    | 1.2.2.5  |
|    | Title     | Form Quality Variation Requiring Approval  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.             |
| 13 | Number    | 1.2.2.6  |
|    | Title     | Form Application for Extension of Authorisation  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |

|    |           |  |
|----|-----------|--|
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 14 | Number    | 1.2.2.7  |
|    | Title     | Form Human Blood Components  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 15 | Number    | 1.2.2.8  |
|    | Title     | Form Substances of Animal or Human Origin  |
|    | Element   | m1-2-2-8-form-substances-of-animal-or-human-origin   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/1228-formsubstancesanimalorhuman                          |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/1228-formsubstancesanimalorhuman/ch-foanimalhuman-VAR.EXT |
|    | Comment   |  |
| 16 | Number    | 1.2.2.9  |
|    | Title     | Form Pharmaceutical Information for Parenteral Preparations  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 17 | Number    | 1.2.2.10   |
|    | Title     | Form Co-Marketing Confirmation   |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 18 | Number    | 1.2.2.11   |
|    | Title     | Form Import According to Paragraph 14 Section 2 TPA  |

|    |           |  |
|----|-----------|--|
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.           |
| 19 | Number    | 1.2.2.12   |
|    | Title     | Form Safety Changes to Product Information   |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.           |
| 20 | Number    | 1.2.2.13   |
|    | Title     | Form Change of Marketing Authorisation Holder  |
|    | Element   | m1-2-2-13-form-change-of-marketing-authorisation-holder  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12213-formchangeofmaholder                        |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12213-formchangeofmaholder/ch-fochangemah-VAR.EXT |
|    | Comment   |  |
| 21 | Number    | 1.2.2.14   |
|    | Title     | Checklist Formal Control Application Authorisation Human Medicines                             |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.           |
| 22 | Number    | 1.2.2.15   |
|    | Title     | Checklist Formal Control Application Authorisation Human Medicines Art.13, TPA                 |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |

|    |           |   |
|----|-----------|---|
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.              |
| 23 | Number    | 1.2.2.16  |
|    | Title     | Form PSUR/PBRER for Human Medicines   |
|    | Element   | m1-2-2-16-form-psur-for-human-medicines   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12216-formpsurhumanmedicines                         |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12216-formpsurhumanmedicines/ch-fopsur-VAR.EXT       |
|    | Comment   |   |
| 24 | Number    | 1.2.2.17  |
|    | Title     | Form Declaration Radiopharmaceuticals   |
|    | Element   | m1-2-2-17-form-declaration-radiopharmaceuticals   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12217-formdeclarationradio                           |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12217-formdeclarationradio/ch-foradio-VAR.EXT        |
|    | Comment   |   |
| 25 | Number    | 1.2.2.18  |
|    | Title     | Form Confirmation Regarding Substances from GMO   |
|    | Element   | m1-2-2-18-form-confirmation-substances-from-gmo   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12218-formconfirmationsubstancesgmo                  |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12218-formconfirmationsubstancesgmo/ch-fogmo-VAR.EXT |
|    | Comment   |   |
| 26 | Number    | 1.2.2.19  |
|    | Title     | Form DMF  |
|    | Element   | m1-2-2-19-form-dmf  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12219-formdmf  |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12219-formdmf/ch-fodmf-VAR.EXT                       |
|    | Comment   |   |
| 27 | Number    | 1.2.2.20  |
|    | Title     | Form Information Relating to Applications under Art. 13 TPA                                       |

|    |           |  |
|----|-----------|--|
|    | Element   | m1-2-2-20-form-information-applications-art-13-tpa   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12220-forminfoapplicationsart13tpa                        |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12220-forminfoapplicationsart13tpa/ch-foart13-VAR.EXT     |
|    | Comment   |  |
| 28 | Number    | 1.2.2.21   |
|    | Title     | Form Notification Sample Packages  |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 29 | Number    | 1.2.2.22   |
|    | Title     | Form Notification of No Marketing or Interruption to Distribution                                      |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                   |
| 30 | Number    | 1.2.2.23   |
|    | Title     | Form Application for Recognition of Orphan Drug Status   |
|    | Element   | m1-2-2-23-form-application-for-recognition-of-orphan-drug-status                                       |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12223-formapplicationrecogorphan                          |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12223-formapplicationrecogorphan/ch-forecogorphan-VAR.EXT |
|    | Comment   |  |
| 31 | Number    | 1.2.2.24   |
|    | Title     | Application for Recognition of Fast Track Status   |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |

|    |           |  |
|----|-----------|--|
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance. |
| 32 | Number    | 1.2.2.25   |
|    | Title     | Form PIP   |
|    | Element   | m1-2-2-25-form-pip   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12225-formpip                           |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12225-formpip/ch-fopip-VAR.EXT          |
|    | Comment   |  |
| 33 | Number    | 1.2.2.26   |
|    | Title     | GCP Inspections  |
|    | Element   | m1-2-2-26-gcpinspections   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12226-gcpinspections                    |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12226-gcpinspections/ch-gcpinsp-VAR.EXT |
|    | Comment   |  |
| 34 | Number    | 1.2.2.99   |
|    | Title     | Other Forms  |
|    | Element   | m1-2-2-99-other-forms  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/122-form-add/12299-otherforms                        |
|    | File      | m1/ch/galenic-form/12-foapplvar/122-form-add/12299-otherforms/ch-foother-VAR.EXT     |
|    | Comment   |  |
| 35 | Number    | 1.2.3  |
|    | Title     | Annexes - Documents on Drug Quality  |
|    | Element   | m1-2-3-quality   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality  |
|    | Comment   |  |
| 36 | Number    | 1.2.3.1  |
|    | Title     | DMF Letter of Access   |
|    | Element   | m1-2-3-1-dmf-letter-of-access  |

|    |           |  |
|----|-----------|--|
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality/1231-dmletterofaccess                                    |
|    | File      | m1/ch/galenic-form/12-foapplvar/123-quality/1231-dmletterofaccess/ch-dmletter-VAR.EXT                |
|    | Comment   |  |
| 37 | Number    | 1.2.3.2  |
|    | Title     | Ph. Eur. Certificate of Suitability for Active Substance   |
|    | Element   | m1-2-3-2-certificate-of-suitability-for-active-substance   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality/1232-certificatesuitabilityactivesubstance               |
|    | File      | m1/ch/galenic-form/12-foapplvar/123-quality/1232-certificatesuitabilityactivesubstance/cosas-VAR.EXT |
|    | Comment   | No country code needed   |
| 38 | Number    | 1.2.3.3  |
|    | Title     | Ph. Eur. Certificate of Suitability for TSE  |
|    | Element   | m1-2-3-3-certificate-of-suitability-for-tse  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality/1233-certificateofsuitabilityfortse                      |
|    | File      | m1/ch/galenic-form/12-foapplvar/123-quality/1233-certificateofsuitabilityfortse/costse-VAR.EXT       |
|    | Comment   | No country code needed   |
| 39 | Number    | 1.2.3.4  |
|    | Title     | EMA Certificate for Plasma Master File (PMF)   |
|    | Element   | m1-2-3-4-ema-certificate-for-plasma-master-file-pmf  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality/1234-emacertificatepmf                                   |
|    | File      | m1/ch/galenic-form/12-foapplvar/123-quality/1234-emacertificatepmf/emacertpmf-VAR.EXT                |
|    | Comment   | Country code is <i>ema</i>   |
| 40 | Number    | 1.2.3.5  |
|    | Title     | EMA Certificate for Vaccine Antigen Master File (VAMF)   |
|    | Element   | m1-2-3-5-ema-certificate-for-vaccine-antigen-master-file-vamf  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/123-quality/1235-emacertificatevamf                                  |
|    | File      | m1/ch/galenic-form/12-foapplvar/123-quality/1235-emacertificatevamf/emacertvamf-VAR.EXT              |
|    | Comment   | Country code is <i>ema</i>   |



|    |           |  |
|----|-----------|--|
| 41 | Number    | 1.2.4  |
|    | Title     | Annexes - Manufacturing  |
|    | Element   | m1-2-4-manufacturing   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/124-manufacturing  |
|    | Comment   |  |
| 42 | Number    | 1.2.4.1  |
|    | Title     | GMP Certificate or Other GMP Documents   |
|    | Element   | m1-2-4-1-gmp-certificate-or-other-gmp-documents  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1241-gmpcertificateorothergmpdoc                               |
|    | File      | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1241-gmpcertificateorothergmpdoc/CC-gmpcert-VAR.EXT            |
|    | Comment   | Country code according to Appendix 1 Table 3   |
| 43 | Number    | 1.2.4.2  |
|    | Title     | Documentation Concerning Manufacturing Authorisation   |
|    | Element   | m1-2-4-2-manufacturing-authorisation   |
|    | Directory | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1242-manufacturingauthorisation                                |
|    | File      | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1242-manufacturingauthorisation/CC-docmanuf-VAR.EXT            |
|    | Comment   | Country code according to Appendix 1 Table 3   |
| 44 | Number    | 1.2.4.3  |
|    | Title     | Complete Manufacturing Information with Flow Chart   |
|    | Element   | m1-2-4-3-complete-manufacturing-information-with-flow-chart  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1243-completemanufacturinginfoflowchart                        |
|    | File      | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1243-completemanufacturinginfoflowchart/manufflowchart-VAR.EXT |
|    | Comment   | No country code needed   |
| 45 | Number    | 1.2.4.4  |
|    | Title     | Confirmation on GMP Conformity   |
|    | Element   | m1-2-4-4-confirmation-on-gmp-conformity  |
|    | Directory | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1244-confirmationongmpconform                                  |

|         |                        |   |
|---------|------------------------|---|
|         | File                   | m1/ch/galenic-form/12-foapplvar/124-manufacturing/1244-confirmationongmpconform/gmpconform-VAR.EXT      |
|         | Comment                | No country code needed  |
| 46      | Number                 | 1.2.5   |
|         | Title                  | Annexes - Others  |
|         | Element                | m1-2-5-others   |
|         | Directory              | m1/ch/galenic-form/12-foapplvar/125-others  |
|         | Comment                |   |
| 47      | Number                 | 1.2.5.1   |
|         | Title                  | Comparison of Approved Information for Professionals with EU SmPC (for PSURs)                           |
|         | Element                | m1-2-5-1-comparison-of-approved-product-information   |
|         | Directory              | m1/ch/galenic-form/12-foapplvar/125-others/1251-comparisonapprovedproductinfo                           |
|         | File                   | m1/ch/galenic-form/12-foapplvar/125-others/1251-comparisonapprovedproductinfo/ch-smpcprofcompar-VAR.EXT |
|         | Comment                |   |
| 48      | Number                 | 1.2.5.2   |
|         | Title                  | Company Core Data Sheet (for PSURs)   |
|         | Element                | m1-2-5-2-company-core-data-sheet  |
|         | Directory              | m1/ch/galenic-form/12-foapplvar/125-others/1252-companycoredatasheet                                    |
|         | File                   | m1/ch/galenic-form/12-foapplvar/125-others/1252-companycoredatasheet/ccds-VAR.EXT                       |
| Comment | No country code needed |   |
| 49      | Number                 | 1.3   |
|         | Title                  | Product Information and Packaging Material  |
|         | Element                | m1-3-pi   |
|         | Directory              | m1/ch/galenic-form/13-pipackaging   |
|         | Comment                | General placeholder for Product Information and Packaging Material                                      |
| 50      | Number                 | 1.3.1   |
|         | Title                  | Information for Professionals   |
|         | Element                | m1-3-1-professionals  |

|    |           |   |
|----|-----------|---|
|    | Directory | m1/ch/galenic-form/13-pipackaging/131-prof  |
|    | File      | m1/ch/galenic-form/13-pipackaging/131-prof/ch-prof-VAR.EXT  |
|    | Comment   | Filename for the Information for Professionals document composed of a fixed component <i>ch</i> , a fixed component <i>prof</i> and an optional variable component to be used if needed. Example: ch-prof-tablet10mg.pdf.   |
| 51 | Number    | 1.3.2   |
|    | Title     | Patient Information   |
|    | Element   | m1-3-2-patient  |
|    | Directory | m1/ch/galenic-form/13-pipackaging/132-patient   |
|    | File      | m1/ch/galenic-form/13-pipackaging/132-patient/ch-patient-VAR.EXT  |
|    | Comment   | Filename for the patient information document composed of a fixed component <i>ch</i> , a fixed component <i>patient</i> and an optional variable component to be used if needed. (e.g. ch-patient-tablets.pdf).  |
| 52 | Number    | 1.3.3   |
|    | Title     | Packaging Information   |
|    | Element   | m1-3-3-packaging  |
|    | Directory | m1/ch/galenic-form/13-pipackaging/133-packaging   |
|    | File      | m1/ch/galenic-form/13-pipackaging/133-packaging/ch-packaging-VAR.EXT  |
|    | Comment   | Filename for the list of folding boxes (mock-ups or draft) provided with the submission composed of a fixed component <i>ch</i> , a fixed component <i>packaging</i> and an optional variable component to be used if needed. (e.g. ch-packaging-tabletsdraft.pdf or ch-packaging-tabletsmockup.pdf). |
| 53 | Number    | 1.3.4   |
|    | Title     | Information for Professionals from Other Countries  |
|    | Element   | m1-3-4-professionals-other-countries  |
|    | Directory | m1/ch/galenic-form/13-pipackaging/134-profother   |
|    | File      | m1/ch/galenic-form/13-pipackaging/134-profother/CC-profother-VAR.EXT  |
|    | Comment   | Filename for the blisters and other information, composed of a fixed component <i>CC</i> (see Appendix 1 Table 3), a fixed component <i>profother</i> and an optional variable component to be used if needed. (e.g. ema-profother-producttablets10mg.pdf).   |
| 54 | Number    | 1.4   |
|    | Title     | Information about the Expert  |
|    | Element   | m1-4-expert   |
|    | Directory | m1/ch/galenic-form/14-expert  |

|    |           |  |
|----|-----------|--|
|    | Comment   | General placeholder for Expert Information.  |
| 55 | Number    | 1.4.1  |
|    | Title     | Quality  |
|    | Element   | m1-4-1-quality   |
|    | Directory | m1/ch/galenic-form/14-expert/141-quality   |
|    | File      | m1/ch/galenic-form/14-expert/141-quality/quality-VAR.EXT                                     |
|    | Comment   | No country code needed.  |
| 56 | Number    | 1.4.2  |
|    | Title     | Nonclinical  |
|    | Element   | m1-4-2-non-clinical  |
|    | Directory | m1/ch/galenic-form/14-expert/142-nonclinical   |
|    | File      | m1/ch/galenic-form/14-expert/142-nonclinical/nonclinical-VAR.EXT                             |
|    | Comment   | No country code needed.  |
| 57 | Number    | 1.4.3  |
|    | Title     | Clinical   |
|    | Element   | m1-4-3-clinical  |
|    | Directory | m1/ch/galenic-form/14-expert/143-clinical  |
|    | File      | m1/ch/galenic-form/14-expert/143-clinical/clinical-VAR.EXT                                   |
|    | Comment   | No country code needed.  |
| 58 | Number    | 1.5  |
|    | Title     | Data of Bioavailability Studies (Known Active Substance without Innovation)                  |
|    | Element   | m1-5-bioavailability   |
|    | Directory | m1/ch/galenic-form/15-bioavailability  |
|    | Comment   |  |
| 59 | Number    | 1.5.1  |
|    | Title     | Information according to Appendix IV of the Guideline on the Investigation on Bioequivalence |
|    | Element   | m1-5-1-info-accord-app-iv-guideline-bioequivalence   |

|    |           |  |
|----|-----------|--|
|    | Directory | m1/ch/galenic-form/15-bioavailability/151-infoaccordappivguidelinebioequivalence                           |
|    | File      | m1/ch/galenic-form/15-bioavailability/151-infoaccordappivguidelinebioequivalence/ch-bioequivalence-VAR.EXT |
|    | Comment   |  |
| 60 | Number    | 1.5.2  |
|    | Title     | Documents on the Reference Product   |
|    | Element   | m1-5-2-reference-product   |
|    | Directory | m1/ch/galenic-form/15-bioavailability/152-bioreference   |
|    | File      | m1/ch/galenic-form/15-bioavailability/152-bioreference/ch-bioreference-VAR.EXT                             |
|    | Comment   |  |
| 61 | Number    | 1.5.3  |
|    | Title     | Confirmation of Identity of Submitted Product and Reference Product Used in the Bioequivalence Studies     |
|    | Element   |  |
|    | Directory |  |
|    | File      |  |
|    | Comment   | This section is no longer applicable. The folder remains for life cycle maintenance.                       |
| 62 | Number    | 1.6  |
|    | Title     | Environmental Risk Assessment  |
|    | Element   | m1-6-environrisk   |
|    | Directory | m1/ch/galenic-form/16-environrisk  |
|    | Comment   | General placeholder for Environmental Risk Assessment.   |
| 63 | Number    | 1.6.1  |
|    | Title     | Non-GMO  |
|    | Element   | m1-6-1-nongmo  |
|    | Directory | m1/ch/galenic-form/16-environrisk/161-nongmo   |
|    | File      | m1/ch/galenic-form/16-environrisk/161-nongmo/nongmo-VAR.EXT  |
|    | Comment   | No country code needed.  |
| 64 | Number    | 1.6.2  |

|    |           |   |
|----|-----------|---|
|    | Title     | GMO   |
|    | Element   | m1-6-2-gmo  |
|    | Directory | m1/ch/galenic-form/16-environrisk/162-gmo   |
|    | File      | m1/ch/galenic-form/16-environrisk/162-gmo/gmo-VAR.EXT   |
|    | Comment   | No country code needed.   |
| 65 | Number    | 1.7   |
|    | Title     | Decisions of Foreign Authorities  |
|    | Element   | m1-7-decisions-authorities  |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities  |
|    | Comment   | General placeholder for information on decisions from other Health Authorities.   |
| 66 | Number    | 1.7.1   |
|    | Title     | Responses to LoQ  |
|    | Element   | m1-7-1-responses  |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/171-responses  |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/171-responses/CC-responses-VAR.pdf   |
|    | Comment   | Filename for the Responses composed of a fixed component CC (according to Appendix 1 Table 3), a fixed component <i>responses</i> and an optional variable component to be used if needed, e.g. ema-responses-quality.pdf |
| 67 | Number    | 1.7.2   |
|    | Title     | Assessment Report   |
|    | Element   | m1-7-2-assessment   |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/172-ar   |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/172-ar/CC-ar-VAR.pdf   |
|    | Comment   | Country code according to Appendix 1 Table 3  |
| 68 | Number    | 1.7.3   |
|    | Title     | EU Decision   |
|    | Element   | m1-7-3-eu-decisions   |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/173-eudecision   |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/173-eudecision/CC-eudecision-VAR.pdf   |

|    |           |   |
|----|-----------|---|
|    | Comment   | Country code according to Appendix 1 Table 3  |
| 69 | Number    | 1.7.4   |
|    | Title     | FDA Decision  |
|    | Element   | m1-7-4-fda-decision   |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/174-fdadecision                              |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/174-fdadecision/fdadecision-VAR.pdf          |
|    | Comment   | No country code needed.   |
| 70 | Number    | 1.7.5   |
|    | Title     | Decisions of Other Foreign Authorities  |
|    | Element   | m1-7-5-foreign-decisions  |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/175-decisionothers                           |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/175-decisionothers/CC-decisionothers-VAR.pdf |
|    | Comment   | Country code according to Appendix 1 Table 3  |
| 71 | Number    | 1.7.6   |
|    | Title     | Article 13 TPA Additional Documentation   |
|    | Element   | m1-7-6-article13addoc   |
|    | Directory | m1/ch/galenic-form/17-decisionsauthorities/176-article13addoc                           |
|    | File      | m1/ch/galenic-form/17-decisionsauthorities/176-article13addoc/CC-art13addoc-VAR.pdf     |
|    | Comment   | Country code according to Appendix 1 Table 3  |
| 72 | Number    | 1.8   |
|    | Title     | Information Relating to Pharmacovigilance   |
|    | Element   | m1-8-pharmacovigilance  |
|    | Directory | m1/ch/galenic-form/18-phvig   |
|    | Comment   | General placeholder for information on pharmacovigilance.                               |
| 73 | Number    | 1.8.1   |
|    | Title     | Pharmacovigilance System  |
|    | Element   | m1-8-1-pharmacovigilance-system   |



|    |           |  |
|----|-----------|--|
|    | Directory | m1/ch/galenic-form/18-phvig/181-phvigsystem  |
|    | File      | m1/ch/galenic-form/18-phvig/181-phvigsystem/phvigsystem-VAR.EXT  |
|    | Comment   | No country code needed.  |
| 74 | Number    | 1.8.2  |
|    | Title     | Risk-Management System   |
|    | Element   | m1-8-2-risk-management-system  |
|    | Directory | m1/ch/galenic-form/18-phvig/182-riskmgtsystem  |
|    | File      | m1/ch/galenic-form/18-phvig/182-riskmgtsystem/riskmgtsystem-VAR.EXT  |
|    | Comment   | No country code needed.  |
| 75 | Number    | 1.9  |
|    | Title     | Fast Track Status Decision   |
|    | Element   | m1-9-fast-track-decision   |
|    | Directory | m1/ch/galenic-form/19-fasttrack  |
|    | Comment   | General placeholder for information on Fast Track Status Decision.   |
| 76 | Number    | 1.9  |
|    | Title     | Fast Track Status Decision   |
|    | Element   | m1-9-fast-track-decision   |
|    | File      | m1/ch/galenic-form/19-fasttrack/ch-fasttrack-VAR.EXT   |
|    | Comment   | Filename for the Fast Track Status Decision composed of a fixed component <i>ch</i> , a fixed component <i>fasttrack</i> and an optional variable component if required (e.g. ch-fasttrack-renalcancer.pdf). |
| 77 | Number    | 1.10   |
|    | Title     | Information Relating to Paediatrics  |
|    | Element   | m1-10-paediatrics  |
|    | Directory | m1/ch/galenic-form/110-paediatrics   |
|    | Comment   | General placeholder for information on paediatrics.  |
| 78 | Number    | 1.10   |
|    | Title     | Information Relating to Paediatrics  |
|    | Element   | m1-10-paediatrics  |

|    |           |  |
|----|-----------|--|
|    | File      | m1/ch/galenic-form/110-paediatrics/paediatrics-VAR.EXT   |
|    | Comment   | No country code needed.  |
| 79 | Number    | 1.11   |
|    | Title     | Orphan Drug Status Decision  |
|    | Element   | m1-11-orphandrug   |
|    | Directory | m1/ch/galenic-form/111-orphandrug  |
|    | Comment   | General placeholder for information on Orphan Drug Status Decision.  |
| 80 | Number    | 1.11   |
|    | Title     | Orphan Drug Status Decision  |
|    | Element   | m1-11-orphandrug   |
|    | File      | m1/ch/galenic-form/111-orphandrug/ch-orphandrug-VAR.EXT  |
|    | Comment   | Filename for the Orphan Drug Status Decision composed of a fixed component <i>ch</i> , a fixed component <i>orphandrug</i> and an optional variable component if required (e.g. ch-orphandrug-indication.pdf).       |
| 81 | Number    | 1.12   |
|    | Title     | Art 14 Sec 1 Let abis-quater TPA Documents   |
|    | Element   | m1-12-art14sec1letabisquater   |
|    | Directory | m1/ch/galenic-form/112-art14   |
|    | Comment   | General placeholder for information on Art 14 Sec 1 Let abis-quater TPA Documents  |
| 82 | Number    | 1.12.1   |
|    | Title     | Proof of 10 Years EU/EFTA Authorisation  |
|    | Element   | m1-12-1-eueftaauthorisation  |
|    | Directory | m1/ch/galenic-form/112-art14/1121-eueftaauthorisation  |
|    | File      | m1/ch/galenic-form/112-art14/1121-eueftaauthorisation/ch-eueftaproof-VAR.EXT   |
|    | Comment   | Filename for the 10 years EU EFTA authorisation composed of a fixed component <i>ch</i> , a fixed component <i>eueftaproof</i> and an optional variable component if required (e.g. ch-eueftaproof-productname.pdf). |
| 83 | Number    | 1.12.2   |
|    | Title     | 10 Years EU/EFTA Authorisation – Documents on the Reference Product  |
|    | Element   | m1-12-2-eueftadocreferenc  |

|    |           |   |
|----|-----------|---|
|    | Directory | m1/ch/galenic-form/112-art14/1122-eueftadocreference  |
|    | File      | m1/ch/galenic-form/112-art14/1122-eueftadocreference/ch-eueftacompar-VAR.EXT  |
|    | Comment   | Filename for the documents on the reference product composed of a fixed component <i>ch</i> , a fixed component <i>eueftacompar</i> and an optional variable component if required (e.g. ch-eueftacompar-productname.pdf).                    |
| 84 | Number    | 1.12.3  |
|    | Title     | Proof of 30 Years Overall Medical Use – 15 Years Medical Use EU/EFTA  |
|    | Element   | m1-12-3-overallmedicaluse   |
|    | Directory | m1/ch/galenic-form/112-art14/1123-overallmedicaluse   |
|    | File      | m1/ch/galenic-form/112-art14/1123-overallmedicaluse/ch-meduseproof-VAR.EXT  |
|    | Comment   | Filename for 30 years overall medical use - 15 years medical use EU/EFTA composed of a fixed component <i>ch</i> , a fixed component <i>meduseproof</i> and an optional variable component if required (e.g. ch-meduseproof-productname.pdf). |
| 85 | Number    | 1.12.4  |
|    | Title     | Proof of 15 Years Cantonal Authorisation  |
|    | Element   | m1-12-4-cantonalauthorisation   |
|    | Directory | m1/ch/galenic-form/112-art14/1124-cantonalauthorisation   |
|    | File      | m1/ch/galenic-form/112-art14/1124-cantonalauthorisation/ch-cantauthproof-VAR.EXT  |
|    | Comment   | Filename for 15 years cantonal authorisation composed of a fixed component <i>ch</i> , a fixed component <i>cantauthproof</i> and an optional variable component if required (e.g. ch-cantauthproof-productname.pdf).                         |
| 86 | Number    |   |
|    | Title     | Responses to Swissmedic LoQ   |
|    | Element   | m1-swiss-responses  |
|    | Directory | m1/ch/galenic-form/responses  |
|    | Comment   | No number is assigned to this element.  |
| 87 | Number    |   |
|    | Title     | Responses to Swissmedic LoQ   |
|    | Element   | m1-swiss-responses  |
|    | File      | m1/ch/galenic-form/responses/ch-responses-VAR.EXT   |
|    | Comment   | Filename for additional information requested composed by a fixed component <i>ch</i> , a fixed component <i>responses</i> and an optional variable component to be used if needed (e.g. ch-responses-quality.pdf).                           |

|    |           |   |
|----|-----------|---|
| 88 | Number    |   |
|    | Title     | Additional Information                                      |
|    | Element   | m1-additional-info  |
|    | Directory | m1/ch/galenic-form/additionalinfo                           |
|    | Comment   | No number is assigned to this element.                      |
| 89 | Number    |   |
|    | Title     | Additional Information                                      |
|    | Element   | m1-additional-info  |
|    | Directory |   |
|    | File      | m1/ch/galenic-form/additionalinfo/CC-additionalinfo-VAR.EXT |
|    | Comment   | Country code according to Appendix 1 Table 3                |

## Appendix 2: Envelope Element Description

The *ch-envelope* element is the root element that defines metadata of the submission. All envelope elements are mandatory.

| element                                     | attribute | Description/instruction   | example  | occurrence |
|---|-----------|---|--|------------|
| ch envelope                                 |           | root element that provides metadata of the submission   |  | unique     |
| envelope                                    | country   | Parent element for the submission metadata. This element must be <i>ch</i> (case sensitive).  | ch   | unique     |
| application number<br>( <i>Gesuchs-ID</i> ) |           | Number assigned to the application by Swissmedic, not known before initial submission, Must be included for all subsequent submissions. It is 9 digits w/o leading zeros. Element can be repeated for multiple application numbers that apply. Use <i>pending</i> (case sensitive) if not known | 102501123  | repeatable |
| submission description                      |           | This element is used to link the application to the application number (in case of more than one application per eCTD Sequence).  | The manufacturing of the finished product has been transferred from A to B. As a consequence, some minor changes in the manufacturing process occur. | unique     |

| element       | attribute  | Description/instruction   | example                        | occurrence           |
|---------------|--|---|--------------------------------|----------------------|
| invented name |  | The name of the medicinal product. Put in even if not yet definitive, use <i>pending</i> (case sensitive) only as a last choice.  | wonderpill                     | repeatable           |
| galenic form  | name   | Dosage form in English (EU standard terms strongly recommended) – lower case letters preferred  | capsules                       | one per galenic form |
| galenic form  | swissmedic number (Marketing Authorisation number) | The number assigned to the product identifying the product and its galenic form. Use <i>pending</i> (case sensitive) if not known.  | 41962                          | one per galenic form |
| galenic form  | galenic name                                       | German, French or Italian term of the dosage form (EU standard terms strongly recommended)<br>Please refer to App. 1, Table 4, element No. 3.   | Kapseln or capsules or capsule | one per galenic form |
| galenic name  | language   | Language of galenic name. Possible values are <i>de, fr, it</i> .   | de                             | one per galenic name |
| dmf number    |  | The number assigned to the DMF (alphanumeric).<br>Use <i>pending</i> (case sensitive) if the assigned DMF number is not known.<br>Use <i>n/a</i> (case sensitive) if the submission is not a DMF.   | D3459                          | unique               |
| pmf number    |  | The number assigned to the PMF.<br>Use <i>pending</i> (case sensitive) if the assigned PMF number is not known.<br>Use <i>n/a</i> (case sensitive) if the submission is not a PMF.  | n/a                            | unique               |
| inn           |  | International Non-proprietary Name, used to identify pharmaceutical substances or active pharmaceutical ingredients. Each INN is a unique name that is globally recognized and is public property. Use <i>pending</i> (case sensitive) if not yet approved. | wonderdrug                     | repeatable           |
| applicant     |  | The name of the company submitting the eCTD. Use <i>n/a</i> (case sensitive) if the submission is a DMF or PMF.   | Pharma SA                      | unique               |
| dmf holder    |  | The name of the company submitting the DMF. Use <i>n/a</i> (case sensitive) if the submission is not a DMF.   | Farma SA                       | unique               |

| element     | attribute | Description/instruction  | example    | occurrence |
|-------------|-----------|--|------------|------------|
| pmf holder  |           | The name of the company submitting the PMF. Use <i>n/a</i> (case sensitive) if the submission is not a PMF.  | Farmos SA  | unique     |
| agency      |           | Identification of the receiving agency:<br><i>Swissmedic</i> (case sensitive)  | Swissmedic | unique     |
| application | type      | <p>The type of procedure for the submission. The following are the valid values (bold text indicates the allowed values, case sensitive without blanks):</p> <p><b>na</b> = new application, including:<br/> <b>na-nas</b>: New Active Substance<br/> <b>na-bws</b>: Known Active Substance<br/> <b>na-co-marketing</b>: Co-Marketing Medicinal Product<br/> <b>na-pi</b>: Parallel Import<br/> <b>var-type1a</b> = type Ia variation<br/> <b>var-type1ain</b> = type Ia variation for immediate notification<br/> <b>var-type1b</b> = type Ib variation<br/> <b>var-type2</b> = type II variation<br/> <b>extension</b> = extension<br/> <b>renewal</b> = Prolongation, renouncement of prolongation of Marketing Authorisation, notification of no marketing or interruption to distribution<br/> <b>fum</b> = Follow-up Measure<br/> <b>psur</b> = Submission of PSUR<br/> <b>pi</b> = Parallel Import<br/> <b>eas</b> = Application for 5 years Data Protection<br/> <b>withdrawal</b> = Withdrawal of authorised medicinal products<br/> <b>transfer</b> = Transfer of a Marketing Authorisation, Change of name of applicant, change of address of applicant</p> | na-nas     | repeatable |

| element               | attribute | Description/instruction   | example | occurrence |
|-----------------------|-----------|---|---------|------------|
|                       |           | <p><b>dmf</b> = Drug Master File</p> <p><b>pmf</b> = Plasma Master File</p> <p><b>orphan-fasttrack</b> = Application for recognition of orphan drug status or fast track status</p> <p><b>reformat</b> = A baseline eCTD submission containing no content change and which will not be subject to review</p> <p><b>supplemental-info</b> = supplemental information (could include, for example, response to content validation issues, a consolidation sequence, withdrawal of an application, or answers to question)</p> <p><b>corrigendum</b> = correction of errors detected in a sequence</p> <p><b>advice</b> = used for meeting</p> |         |            |
| article-13-tpa        |           | Use <i>yes</i> (case sensitive) if the submission is according to article 13 TPA and <i>no</i> (case sensitive) if the submission is not according to article 13 TPA (no other value than <i>yes</i> or <i>no</i> is allowed)   | no      | unique     |
| eCTD Sequence         |           | The Sequence number of the submission – this must start at 0000 for the initial submission, and then increase incrementally with each subsequent submission, for example 0000, 0001, 0002 etc. The increase must occur in chronological order. The Sequence number must have 4 digits.  | 0005    | unique     |
| related eCTD Sequence |           | The Sequence number of a previous submission to which this submission is related, e.g., the responses to questions to a new application. Use the numeric value (must have 4 digits) or – in case there is no related sequence – use <i>none</i> (case sensitive)  | 0003    | repeatable |

### Example of the use of the Related eCTD Sequence

A regulatory activity is a logical entity of submission activity (for example a new indication) with a defined start and end point (for example: initial submission to final approval). In the eCTD world, a regulatory activity consists of all the eCTD Sequences that together make up the life cycle of that particular regulatory activity.

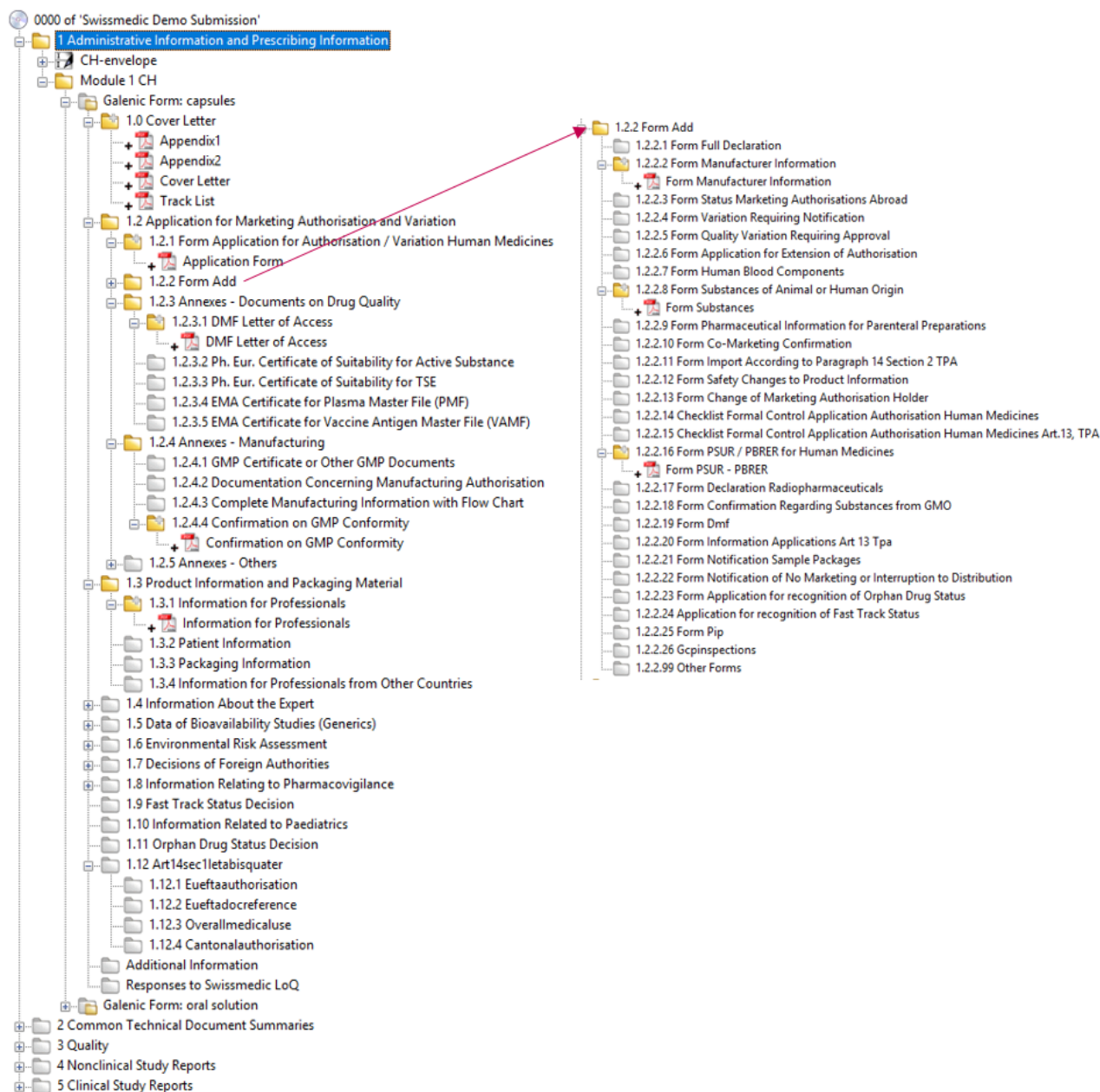


The related eCTD Sequence attribute should always be "none" for new applications or new regulatory activities (for example variations, PSURs). When submitting life cycle eCTD Sequences within an existing activity, the related eCTD Sequence attribute should be populated with the eCTD Sequence number of the first eCTD Sequence in the activity, regardless of how many eCTD Sequences make up the activity. The related eCTD Sequence attribute should be considered independent of any modified file attributes in a submission. For example, if an eCTD Sequence 0010 modifies files (leaves) in eCTD Sequence 0008 and 0009, the entry for related eCTD Sequence in eCTD Sequence 0010 should be the eCTD Sequence number that started the regulatory activity that 0010 falls within, which will not necessarily be eCTD Sequence 0008 or 0009. See below for some illustrative examples.

| eCTD Sequence | Submission description  | Related eCTD Sequence | Type              | Comment   |
|---------------|---|-----------------------|-------------------|---|
| 0000          | Original application  | "none"                | na-nas            |   |
| 0001          | Re-submission after negative content validation outcome   | 0000                  | supplemental-info | This is a continuation of the regulatory activity initiated in 0000 and so the related eCTD Sequence points to the beginning of that activity |
| 0002          | Answers to Questions  | 0000                  | supplemental-info | This is a continuation of the regulatory activity initiated in 0000 and so the related eCTD Sequence points to the beginning of that activity |
| 0003          | Application for a new indication (treatment of pain)  | "none"                | var-type2         | This is the beginning of a new regulatory activity and so no related eCTD Sequence is included  |
| 0004          | Application for a change in manufacturing site  | "none"                | var-type1b        | This is the beginning of a new regulatory activity and so no related eCTD Sequence is included  |
| 0005          | Answers to Questions on application of a new indication for 'Treatment of Pain' indication  | 0003                  | supplemental-info | This is a continuation of the regulatory activity initiated in 0003 and so the related eCTD Sequence points to the beginning of that activity |
| 0006          | Answers to List of Questions for change in manufacturing site   | 0004                  | supplemental-info | This is a continuation of the regulatory activity initiated in 0004 and so the related eCTD Sequence points to the beginning of that activity |
| 0007          | Line extension to introduce a new dosage form (iv solution) that amends information provided in the original application and the manufacturing change variation | "none"                | extension         | This is the beginning of a new regulatory activity and so no related eCTD Sequence is included  |

### Appendix 3: Example Screenshots

This appendix is included to demonstrate how the backbone is displayed using an XML viewing tool.



## Structure of the Envelope using an XML viewing tool



## Appendix 4: Modularised DTD for CH Module 1

### ch-regional.dtd v1.4

```
<!--
DTD M1 Swissmedic v1.4
Published Date: 27. September 2018
Authors: Swissmedic
```

Meaning of the suffixes:

```

?           : element is optional; must appear 0 or 1 time
*           : element is optional; must appear 0 or more time
+           : element is mandatory; must appear 1 or more times
<none>     : element is mandatory; must appear once and only once
-->

```

```

<!-- countries, languages and leaf-node declarations used as references -->
<!ENTITY % countries "(ch)">
<!ENTITY % languages "(de|fr|it)">
<!ENTITY % leaf-node "(( leaf | node-extension )*)">

```

```

<!-- Root element ch-backbone -->
<!ELEMENT ch:ch-backbone (
    ch-envelope,
    m1-ch
)>
<!ATTLIST ch:ch-backbone
    xmlns:ch          CDATA #FIXED "http://www.swissmedic.ch"
    xmlns:xlink       CDATA #FIXED "http://www.w3c.org/1999/xlink"
    xml:lang          CDATA #IMPLIED
    dtd-version       CDATA #FIXED "1.4"
>

```

```

<!ENTITY % envelope-module SYSTEM "ch-envelope.mod">
%envelope-module;
<!ENTITY % leaf-module SYSTEM "ch-leaf.mod">
%leaf-module;

```

```

<!-- ..... -->
<!ELEMENT m1-ch (m1-galenic-form*)>

```

```

<!ELEMENT m1-galenic-form (
    m1-0-cover?,
    m1-2-applvar?,
    m1-3-pi?,
    m1-4-expert?,
    m1-5-bioavailability?,
    m1-6-environrisk?,
    m1-7-decisions-authorities?,
    m1-8-pharmacovigilance?,
    m1-9-fast-track-decision?,
    m1-10-paediatrics?,
    m1-11-orphan-drug?,
    m1-12-art14sec1letabisquater?,
    m1-swiss-responses?,
    m1-additional-info?
)>

```

```

<!ATTLIST m1-galenic-form
    name CDATA #REQUIRED
>

```

```
<!-- ..... -->
<!ELEMENT m1-0-cover (%leaf-node;)>
<!-- ..... -->
<!ELEMENT m1-2-applvar (
    m1-2-1-foapplvar?,
    m1-2-2-form-add?,
    m1-2-3-quality?,
    m1-2-4-manufacturing?,
    m1-2-5-others?
)>

<!ELEMENT m1-2-1-foapplvar (%leaf-node;)>

<!ELEMENT m1-2-2-form-add (
    m1-2-2-1-form-full-declaration?,
    m1-2-2-2-form-manufacturer-information?,
    m1-2-2-3-form-status-marketing-authorisations-abroad?,
    m1-2-2-4-form-variation-requiring-notification?,
    m1-2-2-5-form-quality-variation-requiring-approval?,
    m1-2-2-6-form-application-for-extension-of-authorisation?,
    m1-2-2-7-form-human-blood-components?,
    m1-2-2-8-form-substances-of-animal-or-human-origin?,
    m1-2-2-9-form-pharmaceutical-information-for-parenteral-preparations?,
    m1-2-2-10-form-co-marketing-confirmation?,
    m1-2-2-11-form-import-according-to-paragraph-14-section-2-tpa?,
    m1-2-2-12-form-safety-changes-to-product-information?,
    m1-2-2-13-form-change-of-marketing-authorisation-holder?,
    m1-2-2-14-cl-formal-control?,
    m1-2-2-15-cl-formal-control-13?,
    m1-2-2-16-form-psur-for-human-medicines?,
    m1-2-2-17-form-declaration-radiopharmaceuticals?,
    m1-2-2-18-form-confirmation-substances-from-gmo?,
    m1-2-2-19-form-dmf?,
    m1-2-2-20-form-information-applications-art-13-tpa?,
    m1-2-2-21-form-notification-sample-packages?,
    m1-2-2-22-form-notification-of-no-marketing-or-interruption-to-
distribution?,
    m1-2-2-23-form-application-for-recognition-of-orphan-drug-status?,
    m1-2-2-24-application-for-recognition-of-fast-track-status?,
    m1-2-2-25-form-pip?,
    m1-2-2-26-gcpinspections?,
    m1-2-2-99-other-forms?
)>

<!ELEMENT m1-2-2-1-form-full-declaration (%leaf-node;)>
<!ELEMENT m1-2-2-2-form-manufacturer-information (%leaf-node;)>
<!ELEMENT m1-2-2-3-form-status-marketing-authorisations-abroad (%leaf-node;)>
<!ELEMENT m1-2-2-4-form-variation-requiring-notification (%leaf-node;)>
<!ELEMENT m1-2-2-5-form-quality-variation-requiring-approval (%leaf-node;)>
<!ELEMENT m1-2-2-6-form-application-for-extension-of-authorisation (%leaf-
node;)>
```

```
<!ELEMENT m1-2-2-7-form-human-blood-components (%leaf-node;)>
<!ELEMENT m1-2-2-8-form-substances-of-animal-or-human-origin (%leaf-node;)>
<!ELEMENT m1-2-2-9-form-pharmaceutical-information-for-parenteral-preparations
(%leaf-node;)>
<!ELEMENT m1-2-2-10-form-co-marketing-confirmation (%leaf-node;)>
<!ELEMENT m1-2-2-11-form-import-according-to-paragraph-14-section-2-tpa (%leaf-
node;)>
<!ELEMENT m1-2-2-12-form-safety-changes-to-product-information (%leaf-node;)>
<!ELEMENT m1-2-2-13-form-change-of-marketing-authorisation-holder (%leaf-node;)>
<!ELEMENT m1-2-2-14-cl-formal-control (%leaf-node;)>
<!ELEMENT m1-2-2-15-cl-formal-control-13 (%leaf-node;)>
<!ELEMENT m1-2-2-16-form-psur-for-human-medicines (%leaf-node;)>
<!ELEMENT m1-2-2-17-form-declaration-radiopharmaceuticals (%leaf-node;)>
<!ELEMENT m1-2-2-18-form-confirmation-substances-from-gmo (%leaf-node;)>
<!ELEMENT m1-2-2-19-form-dmf (%leaf-node;)>
<!ELEMENT m1-2-2-20-form-information-applications-art-13-tpa (%leaf-node;)>
<!ELEMENT m1-2-2-21-form-notification-sample-packages (%leaf-node;)>
<!ELEMENT m1-2-2-22-form-notification-of-no-marketing-or-interruption-to-
distribution (%leaf-node;)>
<!ELEMENT m1-2-2-23-form-application-for-recognition-of-orphan-drug-status
(%leaf-node;)>
<!ELEMENT m1-2-2-24-application-for-recognition-of-fast-track-status (%leaf-
node;)>
<!ELEMENT m1-2-2-25-form-pip (%leaf-node;)>
<!ELEMENT m1-2-2-26-gcpinspections (%leaf-node;)>
<!ELEMENT m1-2-2-99-other-forms (%leaf-node;)>

<!ELEMENT m1-2-3-quality (
    m1-2-3-1-dmf-letter-of-access?,
    m1-2-3-2-certificate-of-suitability-for-active-substance?,
    m1-2-3-3-certificate-of-suitability-for-tse?,
    m1-2-3-4-ema-certificate-for-plasma-master-file-pmf?,
    m1-2-3-5-ema-certificate-for-vaccine-antigen-master-file-vamf?
)>

<!ELEMENT m1-2-3-1-dmf-letter-of-access (%leaf-node;)>
<!ELEMENT m1-2-3-2-certificate-of-suitability-for-active-substance (%leaf-
node;)>
<!ELEMENT m1-2-3-3-certificate-of-suitability-for-tse (%leaf-node;)>
<!ELEMENT m1-2-3-4-ema-certificate-for-plasma-master-file-pmf (%leaf-node;)>
<!ELEMENT m1-2-3-5-ema-certificate-for-vaccine-antigen-master-file-vamf (%leaf-
node;)>

<!ELEMENT m1-2-4-manufacturing (
    m1-2-4-1-gmp-certificate-or-other-gmp-documents?,
    m1-2-4-2-manufacturing-authorisation?,
    m1-2-4-3-complete-manufacturing-information-with-flow-chart?,
    m1-2-4-4-confirmation-on-gmp-conformity?
)>

<!ELEMENT m1-2-4-1-gmp-certificate-or-other-gmp-documents (%leaf-node;)>
```

```
<!ELEMENT m1-2-4-2-manufacturing-authorisation (%leaf-node;)>
<!ELEMENT m1-2-4-3-complete-manufacturing-information-with-flow-chart (%leaf-
node;)>
<!ELEMENT m1-2-4-4-confirmation-on-gmp-conformity (%leaf-node;)>

<!ELEMENT m1-2-5-others (
    m1-2-5-1-comparison-of-approved-product-information?,
    m1-2-5-2-company-core-data-sheet?
)>

<!ELEMENT m1-2-5-1-comparison-of-approved-product-information (%leaf-node;)>
<!ELEMENT m1-2-5-2-company-core-data-sheet (%leaf-node;)>

<!-- ..... -->
<!ELEMENT m1-3-pi (
    m1-3-1-professionals?,
    m1-3-2-patient?,
    m1-3-3-packaging?,
    m1-3-4-professionals-other-countries?
)>
<!ELEMENT m1-3-1-professionals (%leaf-node;)>
<!ELEMENT m1-3-2-patient (%leaf-node;)>
<!ELEMENT m1-3-3-packaging (%leaf-node;)>
<!ELEMENT m1-3-4-professionals-other-countries (%leaf-node;)>

<!-- ..... -->

<!-- ..... -->
<!ELEMENT m1-4-expert (
    m1-4-1-quality?,
    m1-4-2-non-clinical?,
    m1-4-3-clinical?
)>
<!ELEMENT m1-4-1-quality (%leaf-node;)>
<!ELEMENT m1-4-2-non-clinical (%leaf-node;)>
<!ELEMENT m1-4-3-clinical (%leaf-node;)>

<!-- ..... -->
<!ELEMENT m1-5-bioavailability (
    m1-5-1-info-accord-app-iv-guideline-bioequivalence?,
    m1-5-2-reference-product?,
    m1-5-3-confirmation-identity-bioequivalence?
)>
<!ELEMENT m1-5-1-info-accord-app-iv-guideline-bioequivalence %leaf-node;>
<!ELEMENT m1-5-2-reference-product %leaf-node;>
<!ELEMENT m1-5-3-confirmation-identity-bioequivalence %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-6-environrisk ((m1-6-1-nongmo | m1-6-2-gmo)?)>
```

```
<!ELEMENT m1-6-1-nongmo %leaf-node;>
<!ELEMENT m1-6-2-gmo %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-7-decisions-authorities (
    m1-7-1-responses?,
    m1-7-2-assessment?,
    m1-7-3-eu-decisions?,
    m1-7-4-fda-decision?,
    m1-7-5-foreign-decisions?,
    m1-7-6-article13addoc?
)>
<!ELEMENT m1-7-1-responses %leaf-node;>
<!ELEMENT m1-7-2-assessment %leaf-node;>
<!ELEMENT m1-7-3-eu-decisions %leaf-node;>
<!ELEMENT m1-7-4-fda-decision %leaf-node;>
<!ELEMENT m1-7-5-foreign-decisions %leaf-node;>
<!ELEMENT m1-7-6-article13addoc %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-8-pharmacovigilance (
    m1-8-1-pharmacovigilance-system?,
    m1-8-2-risk-management-system?
)>
<!ELEMENT m1-8-1-pharmacovigilance-system %leaf-node;>
<!ELEMENT m1-8-2-risk-management-system %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-9-fast-track-decision %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-10-paediatrics %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-11-orphan-drug %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-12-art14sec1letabisquater (
    m1-12-1-eueftaauthorisation?,
    m1-12-2-eueftadocreference?,
    m1-12-3-overallmedicaluse?,
    m1-12-4-cantonalauthorisation?
)>
<!ELEMENT m1-12-1-eueftaauthorisation %leaf-node;>
<!ELEMENT m1-12-2-eueftadocreference %leaf-node;>
<!ELEMENT m1-12-3-overallmedicaluse %leaf-node;>
<!ELEMENT m1-12-4-cantonalauthorisation %leaf-node;>

<!-- ..... -->
<!ELEMENT m1-swiss-responses (%leaf-node;)>

<!-- ..... -->
```



```
<!ELEMENT m1-additional-info (%leaf-node;)>
```

**ch-envelope.mod v1.4**

```
<!--
DTD M1 Swissmedic v1.4
Published Date: 16.August 2018
Authors: Swissmedic
```

Meaning of the suffixes:

```

?           : element is optional; must appear 0 or 1 time
*           : element is optional; must appear 0 or more time
+           : element is mandatory; must appear 1 or more times
<none>     : element is mandatory; must appear once and only once
-->
```

```
<!-- ..... -->
<!ELEMENT ch-envelope (envelope)>
```

```
<!ELEMENT envelope (
  application-number+,
  submission-description,
  invented-name+,
  galenic-form+,
  dmf-number,
  pmf-number,
  inn+,
  applicant,
  dmf-holder,
  pmf-holder,
  agency,
  application+,
  paragraph-13-tpa,
  ectd-sequence,
  related-ectd-sequence+
)>
```

```
<!-- ..... -->
<!ELEMENT application-number (#PCDATA)>
<!ELEMENT submission-description (#PCDATA)>
<!ELEMENT invented-name (#PCDATA)>
<!ELEMENT galenic-form (swissmedic-number, galenic-name)>
<!ELEMENT galenic-name (#PCDATA)>
<!ELEMENT swissmedic-number (#PCDATA)>
<!ELEMENT dmf-number (#PCDATA)>
<!ELEMENT pmf-number (#PCDATA)>
<!ELEMENT inn (#PCDATA)>
<!ELEMENT applicant (#PCDATA)>
<!ELEMENT dmf-holder (#PCDATA)>
<!ELEMENT pmf-holder (#PCDATA)>
<!ELEMENT agency (#PCDATA)>
<!ELEMENT application EMPTY>
```

```
<!ELEMENT paragraph-13-tpa (#PCDATA)>
<!ELEMENT ectd-sequence (#PCDATA)>
<!ELEMENT related-ectd-sequence (#PCDATA)>

<!-- ..... -->
<!ENTITY % countries "(ch)">
<!ENTITY % languages "(de|fr|it)">

<!-- ..... -->
<!ATTLIST envelope country %countries; #REQUIRED >
<!ATTLIST galenic-form name CDATA #REQUIRED >
<!ATTLIST galenic-name language %languages; #REQUIRED>

<!-- ..... -->
<!ATTLIST application
  type (
    advice |
    na-nas |
    na-ngf |
    na-nko |
    na-bws |
    na-ie |
    na-nde |
    na-ndo |
    na-co-marketing |
    na-pi |
    notification |
    var-authorisation-scientific |
    var-authorisation-admin |
    var-typela |
    var-typelain |
    var-typelb |
    var-type2 |
    extension |
    renewal |
    fum |
    psur |
    pi |
    eas |
    co-marketing |
    withdrawal |
    var-pi |
    transfer |
    dmf |
    pmf |
    orphan-fasttrack |
    reformat |
    supplemental-info |
    corrigendum
  ) #REQUIRED
>
```

**ch-leaf.mod v1.4**

```
<!--
DTD M1 Swissmedic v1.4
Published Date: 16.August 2018
Authors: Swissmedic
```

Meaning of the suffixes:

```

?           : element is optional; must appear 0 or 1 time
*           : element is optional; must appear 0 or more time
+           : element is mandatory; must appear 1 or more times
<none>     : element is mandatory; must appear once and only once
-->
```

```
<!-- ===== -->
<!ELEMENT node-extension (title, (leaf | node-extension)+)>
<!ATTLIST node-extension
    ID ID #IMPLIED
    xml:lang CDATA #IMPLIED
>
<!-- ===== -->
<!ENTITY % show-list " (new | replace | embed | other | none) ">
<!ENTITY % actuate-list " (onLoad | onRequest | other | none) ">
<!ENTITY % operation-list " (new | append | replace | delete) ">
<!ENTITY % leaf-element " (title, link-text?) ">
<!ENTITY % leaf-att '
    ID                ID                #REQUIRED
    application-version CDATA            #IMPLIED
    version            CDATA            #IMPLIED
    font-library       CDATA            #IMPLIED
    operation           %operation-list; #REQUIRED
    modified-file      CDATA            #IMPLIED
    checksum            CDATA            #REQUIRED
    checksum-type      CDATA            #REQUIRED
    keywords            CDATA            #IMPLIED
    xmlns:xlink        CDATA            #FIXED    "http://www.w3c.org/1999/xlink"
    xlink:type         CDATA            #FIXED    "simple"
    xlink:role         CDATA            #IMPLIED
    xlink:href         CDATA            #IMPLIED
    xlink:show         %show-list;      #IMPLIED
    xlink:actuate      %actuate-list;   #IMPLIED
    xml:lang           CDATA            #IMPLIED
    '>
<!ELEMENT leaf %leaf-element;>
<!ATTLIST leaf
    %leaf-att;
>
<!ELEMENT title (#PCDATA)>
<!ELEMENT link-text (#PCDATA | xref)*>

<!ELEMENT xref EMPTY>
<!ATTLIST xref
    ID ID #REQUIRED
```

```
xmlns:xlink CDATA #FIXED "http://www.w3c.org/1999/xlink"  
xlink:type CDATA #FIXED "simple"  
xlink:role CDATA #IMPLIED  
xlink:title CDATA #REQUIRED  
xlink:href CDATA #REQUIRED  
xlink:show %show-list; #IMPLIED  
xlink:actuate %actuate-list; #IMPLIED  
>  
<!-- +++ -->
```

[End of Document]