Principles and Procedures for
Drug Review and Evaluation

Chapter I General Provisions

Article 1 This Principles and Procedures is promulgated in accordance with relevant laws, regulations and regulatory documentations to ensure public safe use of drug, promote public health, and continuously improve the drug technical review and evaluation system to conform to science, standardization and legislation.

Article 2 The drug review should be performed appropriately in terms of science, legality, and ethics while follow the principles of transparency, fairness and justice.

Article 3 The Center for Drug Evaluation in State Food and Drug Administration SFDA (hereinafter as Center or CDE) implements the chief reviewer-cored collective responsibility mechanism, reviewer public announcement system and avoidance system, and responsibility investigation system in the review process of drug applications.

The CDE director who is responsible to the State Food and Drug Administration presides over the comprehensive work of the CDE, and employs a work system of combining the collective leadership with the individual responsibility in the process of decision-making and administration of CDE in accordance with the principle of democratic centralism.

The Center Website (http://www.cde.org.cn) is the official website for the publicity of review staff, review application, progression, decision and other public information related to the review process.

Article 4 The CDE and its staff should perform its responsibility of securing confidentiality of the technical secrets and non-disclosure information submitted by the drug registration applicants (hereinafter as “applicant”).
Article 5 The CDE functional offices and all staff should implement this Principles and Procedures.

The drug review should take the initiative to accept the supervision from the drug regulatory agency, applicant and public.

Chapter II Drug Registration Application Review

Section 1: Review Task Management

Article 6 In accordance with relevant provisions, the Office of Management and Communication is responsible for receiving the applications which had been officially accepted by the relevant agencies and for assigning the applications to the appropriate review offices in accordance with the Principles and Procedures.

The classifications of the applications are as follow: investigational new drug application for clinical trial, new drug application for manufacturing and marketing, generic drug application and supplementary applications. Based on the general rules of drug research and development, each type of applications should take corresponding review procedures.

The investigational new drug application for clinical trial and the new drug application for manufacturing and marketing adopt the multi-disciplinary parallel review procedure.

The application for registration of generic chemical drugs adopts one-office, single disciplinary review procedure.

Supplementary application can adopt the single disciplinary review procedure and the simplified review procedure based on the nature of variation applications. The applications under single disciplinary review procedures may apply sequential review procedures when multi-disciplinary review is necessary. However, the sequential review should also be completed within the prescribed timeline.

Article 7 For review tasks, the review office performing the functions of comprehensive review is the review reporting office.

Working jointly with the co-review office, the review reporting office should publicize the review tasks online, establish and publicize the target timeline according to the timeline requirements prescribed in Drug Registration Provisions, as well as reality in review tasks and resources.
The proposed review target timelines for all applications are important components for the evaluation of review quality and efficiency.

The proposed review timeline for the applications of investigational new drug for clinical trial should be determined based on the objective requirements of drug innovation and risk-control capability. In addition, continuous improvement of the quality and efficiency of the review is required.

The proposed review timeline for the new drug application for manufacturing and marketing should accord with the public demand for accessing the latest treatment.

The review timeline for the generic drugs application should accord with the public demands for accessing the specific class of drugs.

**Article 8** The Office of Research and Evaluation at the Center is responsible for the evaluation of review quality.

Applicants’ appeal against the review management, review process and review conclusion may be submitted through website, in writing or in person.

Based on the general rules of drug development and evaluation as well as the requirements in this document, the Office of Research and Evaluation should be establishing and improving the quality assessment system in a systematic and sustainable way.

**Section II Review of Investigational New Drug Applications for Clinical Trial**

**Article 9** Reviews of investigational new drug applications for clinical trial should be conducted based on the understanding of trial process, anticipated risks and the clinical characteristics of the therapeutic areas.

**Article 10** The review offices take on the review reporting office responsibility based on categories of investigational new drug applications for clinical trial:

(A) The Office of Pharmacology and Toxicology is responsible for clinical trial applications of chemical drug category 1 and 2,
traditional Chinese medicine category 1 to 5;

(B) The CMC Office of Traditional Chinese Medicines is responsible for clinical trial applications of Traditional Chinese Medicine category 7, category 8 and all i.v. formulation of the Traditional Chinese Medicine;

(C) The Clinical Office of Chinese Traditional Medicine is responsible for clinical trial applications of traditional Chinese medicine category 6

(D) The Offices of Clinical Review are responsible for the international multi-center clinical trial applications

(E) The Office of Biological Products is responsible for the clinical trial applications of biological products

The Offices of Clinical Review of Chemical Drug should write the Outline Summary of Drug Clinical Trial Application for the clinical trial applications of chemical drug category 1–2, for the first application of category 3 and international multi-center clinical trial applications.

The format and style of Outline Summary of Drug Clinical Trial Application will be published separately.

Article 11 The Review Reporting Office should perform the following duties in the review process:

(A) Proposing the targeted review timeline for the specific review application and inform the co-review offices.

(B) Coordinate with the co-review Offices to carry out review based on the required items in the Outline Summary of Drug Clinical Trial Application;

(C) Be responsible for organizing and coordinating appropriate interaction communication with the applicant;

(D) Be responsible for determining whether an expert consultation meeting is needed.

(E) Be responsible for undertaking a comprehensive review on the application

Article 12 The Review offices take on the review reporting offices responsibility for the following categories of new drug clinical trial applications. These review reporting offices may refer to relevant requirements mentioned in Article 11, organizing and carrying out the review:

(A) The Office of Pharmacology and Toxicology is responsible for the clinical trial application of import plant medicine;

(B) The Office I of Pharmaceutical Science is responsible for reviewing the clinical trial application of chemical drug category 3
(C) The Office II of Pharmaceutical Science is responsible for reviewing the clinical trial application of chemical drug category 4, chemical drug category 5 (regulated as new drugs) and imported drugs.

**Article 13** For the purpose of ensuring the safety of subject of new drug clinical trial, and strengthening the supervision of drug clinical research, the CDE shall establish the Information Management Platform for New Drug Clinical Trials with relevant stakeholders to provide service for the public and the function of inquiry and monitoring.

**Article 14** The applicant should perform analysis and evaluation, take reasonable measures and make decision suggestions when any adverse events or serious adverse events are observed in any new drug clinical trial conducted under the Good Clinical Practice (GCP), in a timely and efficient way.

After receiving assessment report from applicants, the Offices of Clinical Review shall provide timely relevant suggestions and opinions, and take measures in conjunction with relevant agencies when necessary.

**Section III  Review of New Drug Application for Manufacturing and Marketing**

**Article 15** Regarding new drug applications for manufacturing and marketing, the review should take a comprehensive evaluation of the drug’s safety, efficacy and quality controllability profile based on the results of its clinical trial study, in accordance with the requirements of quality control during the marketing stage.

**Article 16** The review offices are playing the review reporting offices role by the following categories of new drug manufacturing and marketing registration applications:

(A) The Clinical Office of Chemical Drug is responsible for the marketing registration application of chemical drugs category 1 to 4 and import drugs;

(B) The Clinical Office of Traditional Chinese Medicines is responsible for the marketing application of Traditional Chinese Medicines category 6 and import plant medicines;

(C) The Pharmacy Office of Chinese Traditional Medicine is responsible for the marketing application of Traditional Chinese Medicines category 7, category 8 and all kinds of Traditional Chinese Medicines injections;

(D) The Office of Biological Products is responsible for the marketing application of various types of biological products.
**Article 17** The Clinical Review Offices of Chemical Drug should write the Approval Summary of New Drug for the recommended approval new drug if it is the first one manufactured and marketed in domestic market.

**Article 18** The Review Reporting Office should perform the following duties in the review process:
(A) Proposing a targeted review time for specific review applications and inform the co-review offices
(B) Responsible for organizing and carrying out communication with applicants;
(C) Responsible for organizing and chairing an expert consultation meeting;
(D) Responsible for undertaking a comprehensive evaluation for application

**Article 19** The Office II of Pharmaceuticals for chemical drug is the Review Reporting Office responsible for Categorical 5 drug marketing applications.

This office and the co-review offices may undertake the review by referring to relevant requirements aforementioned and in accordance with the characteristics of such applications.

**Article 20** The on-the-spot inspection over drug manufacturing and sample testing are to be carried out after the completion of the review, the Office of Management and Communication is responsible for coordinating, and completing this so called "three-in-one" comprehensive review.

For the applications without any issues from technical review, on-the-spot inspection and sample testing, the Office of Management and Communication will write the "three-in-one" comprehensive review report in accordance with the established procedures and reporting format, and submit the report to the State Food Drug Administration in accordance with authorization and signing procedures.

For those applications with certain problems in on-the-spot inspection and/or sample testing need further discussions, the Office of Management and Communication is responsible for organizing related staff from review offices, verification and inspection units, etc to discuss, achieving a conclusive decision, and based on which, entering the drug application into corresponding follow-up procedures.
Article 21 In order to ensure public safe use of drugs, the CDE shall establish the Information Management Platform of New Drug Package Insert according to review and approval procedure requirements with relevant organizations to provide service for the public and the functions of inquiry and monitoring.

Section IV Review of Generic Drug Registration Applications

Article 22 The comprehensive review of generic drug registration applications should be conducted in the base of the consistence and controllability comparing to the branded counterparts.

Article 23 The review offices are playing the role of review reporting office for the following categories of generic drug registration applications:

(A) The Office II of Pharmaceutical Science for chemical drug is responsible for the registration application of chemical drug category 6;

(B) The Office of Chinese Traditional Medicine CMC is responsible for the registration application of traditional Chinese medicine category 9;

(C) The Office of Biological Products is responsible for the relevant registration application of biological products.

In order to ensure the traceability and consistence of generic drugs, the Review Reporting Office for generic drugs should establish and update the list of branded counterparts of generic drugs and bioequivalence management system with the help of relevant agencies to facilitate regulatory supervision based on the Drug Registration Regulation.

Article 24 The Review Reporting Office for generic drugs should perform the following duties in the review process based on the characteristics of generic drugs:

(A) Proposing target review time for specific review applications;

(B) Be responsible for proposing relevant review strategies to increase the accessibility of such generic drugs that is crucial for solving major public health issues;

(C) Be responsible for holding meetings with applicants to ensure smooth interaction and communication.

(D) Be responsible for determining whether an expert consultation meeting is needed.

Article 25 After the completion of review of the registration applications of generic drugs, the management of quality specifications,
manufacturing process, labeling and other matters are performed in reference with the procedures of the new drug manufacturing and marketing application.

Section V Review of Supplementary Application and Import Drug Re-registration

Article 26 For rolling phase applications for new drug clinical trials, it can apply for the next phase trial through supplementary application after the completion of early phase trial. In the management of such applications, the review of the current application should be conducted in conjunction with the previous ones, and the undertaking of multi-disciplinary parallel review procedure or single-disciplinary review procedure should be decided according the applied matters.

Article 27 For the supplementary applications of the marketed drug, the choice of review procedure should be based on the type of the change items.

Article 28 The review of re-registration applications of import drugs generally takes the single-disciplinary fast track procedure and should be performed by corresponding functional office. Other review procedures could also be taken according to specific conditions.

Section VI Co-review Office Responsibilities and Requirements

Article 29 The co-review office is a discipline based office responsible for the disciplinary review of a specific application. It should take the initiative to conduct the review in conjunction with the Review Reporting Office and subject to follow Review Reporting Office’s coordination.

Article 30 The chief reviewer of the co-review office is responsible for collecting disciplinary review comments and writing disciplinary review report, organizing discipline review meeting and achieving a clear disciplinary review conclusion.

Article 31 The Director of the co-review Office is responsible for the final review of the disciplinary review report and transferring the report to the Review Reporting Office in accordance with the relevant provisions.
Article 32 The CDE encourages and tries to strengthen the effective communication with the applicants both on the technical issues of the research and review process, and with the relevant stakeholder, the media and the public on the review issues concerned. Disclosure of important information should strictly follow the provisions of public information policies and be organized in accordance with relevant procedures.

Article 33 The communication between the CDE and the applicants may be in the ways of video, fax, telephone, mail and face-to-face communication, etc.; the communication between the CDE and the public can adopt the open days, seminars and media interview.

Article 34 The communication between CDE and the applicants should be based on technical issues which may be the questions found in the review process or the key questions found in the drug development process.

The issues communicated with the public should be the common problems attracting public concerns and generally do not involve specific review project, except when the specific review project is for major public health events.

Article 35 The communication between the CDE and applicant should be carried out according to this procedure and relevant regulations, under the mechanism of proposing, recording and confirming. The Procedures for Communication will be established separately.

Article 36 When the reviewers consider the data, methods, results and so on in the application documents need to be confirmed and communicated with the applicant, they could communicate with the applicant via mail, telephone and other means. This kind of communication generally does not require the applicant to supplement data. The information confirmed through communication should be included in the review report.

Article 37 When the communication result need to be confirmed by supplementary material in written form, the CDE will formally inform the applicant in the form of written notification for supplement material, the applicant shall provide additional data as requested.

Article 38 The applicant can apply for the communication and exchange on critical technical issues in the process of new drug research.

Article 39 The applicant can apply for the communication on annual
research and development strategy, and overall drug development plan and strategy during research process.

**Article 40** The communications granted as mentioned in Article 38 and 39 generally are face-to-face meetings or video conferences. Requests for the communications should be made in advance with related technical documents submitted. Preparation and organization should follow the Special Approval Procedures for Drugs promulgated by the State Food and Drug Administration and related guidance. The two sides of the attendees should make sufficient preparation before the meeting and the meeting duration will be strictly controlled to improve communication efficiency.

**Article 41** The applicant may submit the communication application aforementioned in Article 38 and 39 to the Office of Management and Communication. The Office of Management and Communication is responsible for responding to the applicant after consulting with related offices involved.

**Article 42** "Feedback" section on the CDE’s website provides applicants with a platform for mutual communication on some general issues of review.

**Article 43** The CDE website establishes “Center Director’s Mailbox” section for the applicants and the public to reveal the major issues found related to CDE’s performance of duty.

**Article 44** The CDE establishes the Consultation Day and Public Day and other platforms for the applicants to communicate with the CDE staff

**Chapter IV Openness and Transparency**

**Article 45** The CDE should adhere to the principles of openness and transparency in drug review process to ensure that the review is carried out in accordance with the regulations and procedures, to respect the applicants and the public's right to know, to strive to provide applicants and society with information support and services, and to accept social supervision.

**Article 46** The CDE website announces the functional responsibilities of every offices, reviewers’ names, review procedures, relevant technical guidance and relevant contact information. The CDE should make effort to create conditions to continuously increase the scope of information sharing to fit the drug development needs.
Article 47 The following review information should be publicized through the CDE website:
(A) The review status information for applicants to check;
(B) Sequences of review of each review office;
(C) The proposed target review time by each Review Reporting Office;
(D) The monthly review plan of each Review Reporting Office;
(E) Review plans of appealing applications;
(F) Conferences and training information related to the review;
(G) Other information deemed necessary.

Article 48 The following review conclusion should be publicized through the CDE website:
(A) The review reports of the application submitted in Common Technical Document (CTD) format should be available to their applicants;
(B) Approval Summary of New Drug for the first drug approved in China;
(C) Typical cases that is instructional for future drug development and public safe use of drug;
(D) National and international major drug safety information;
(E) Review conclusions for appealing application;
(F) Other review information deemed necessary.

Article 49 The CDE should publicize the package insert of related applications classified by different therapeutic areas based on the relevant provisions of national drug policy to facilitate the primary supervision and the public’s scientific and reasonable use of drug.

Chapter V Authorization and Signing-off

Article 50 The CDE implements the authorization signing-off system for review opinions and conclusions.

Article 51 The chief reviewer reporter is responsible for writing the technical review report with a clear review conclusion suggestion.

Article 52 The directors of review offices are responsible for examining discipline review report and technical review reports, and for signing off relevant technical review reports according to the authorization of the center director.

Article 53 Under the authorization of the center director, the director of the Office of Management and Communication is responsible for signing off the “refused-to-file” notice due to over time limit allowed by the supplementary notice, and also responsible for examining of the “three-in-one” comprehensive review reports.
**Article 54** The director of the Office of Research and Evaluation is responsible for the review and signing off the reports for the appealing applications with same review conclusions, under the authorization of the center director.

**Article 55** Deputy Center Director, under the authorization of the center director, is responsible for signing off the technical review reports that have been reviewed by related office directors, “three-in-one” comprehensive reports, Approval Summary of New Drug.

**Article 56** The center director is responsible for signing off the technical review report of new drugs that is first marketed in the global drug market and “three-in-one” comprehensive reviews. The center director is responsible for signing off the applications reviewed under Special Approval Process for Drugs when at public health emergencies. The center director is also responsible for organizing the assessment and evaluation for the authorized staff and make necessary adjustment in terms of authorization.

**Chapter VI Supplementary Provisions**

**Article 57** Based on its own function, each office should develop and improve relevant work norms according to the general principles of drug development and evaluation, the regulations for registration management and the requirements of this Principles and Procedures.

The Office of Research and Evaluation organizes the approve process of the work norms drafted by various offices. The approved norms should be publicized online as the supplements of this Principles and Procedures.

**Article 58** When the review operations are in violation of relevant provisions of registration regulation, or in violation of this Principles and Procedures, the applicants may appeal to the Office of Research and Evaluation.

**Article 59** This principle and procedure document shall be interpreted by the CDE.

**Article 60** This Principles and Procedures shall enter into force as of the date of promulgation.

Related attachments (attachment of: the review process flow chart).
Disclaimer:
This document is for reference only. For any dispute, the Chinese version shall prevail.