EUROPEAN MEDICINES AGENCY
SCIENCE MEDICINES HEALTH

12 January 2024
EMA/672643/2017 Rev. 8
Human Medicines Division

Guidance on paediatric submissions

Via Syncplicity Web Client

Table of contents

Official address Domenico Scarlattilaan 6 ● 1083 HS Amsterdam ● The Netherlands
Address for visits and deliveries Refer to www.ema.europa.eu/how-to-find-us
Send us a question Go to www.ema.europa.eu/contact **Telephone** +31 (0)88 781 6000

An agency of the European Union

1. Outline of paediatric submission steps

1.1. **In advance** of your targeted submission deadline, please ensure you have access to:

- **Syncplicity Web Client**

  Important: *This submission channel is required for all applicants and all types of paediatric submissions.*

- EudraLink

Research product identifier (RPI)

An RPI number is required and mandatory for all paediatric procedures.

- If your product does not yet have an RPI, please consult the IRIS guide to registration *(8.1. What to do if I am sure that an RPI already exists, but I cannot see it in my RPI list in IRIS?* and *8.2. How to request a new RPI)*, and request an RPI via the EMA IRIS system.
- The RPI number must be included in the appropriate field upon creation of the XML delivery file in the Delivery file UI and in the electronic application form.

1.2. For your submission, please use the **latest versions** of paediatric templates and forms and observe the drafting notes provided.

The forms and templates should be downloaded and saved before being completed.

Please name your documents as per the paediatric submission naming conventions (see section 3).

1.3. For submission, please follow the instructions for **paediatric submissions** to create an XML delivery file, selecting the relevant options (see section 4).

Submit all the required documents **in a single folder** via the Syncplicity Web Client.

Ensure that your submission is successful in your Web Client inbox. See further information in How to send submissions via the Web Client (page 17).

2. List of required documents by procedure type

2.1. Paediatric investigation plan (PIP) and product-specific waiver submissions

- Electronic form for paediatric-investigation-plan application and request for waiver – (PED1) certified ('Part A')

Note on Part A:

*Part A must be submitted as an **active** PDF form (containing active fields), i.e. **not** flattened, printed nor a scanned PDF. If electronic signature is not possible also add in addition a scanned copy with wet signature.*

- Template for scientific document (Parts B-F)
  - *This document must be submitted in **Word** format following the template. Cross-references and hyperlinks in the text should be avoided.*
  - *The `drafting notes in the template` are intended to guide completion.*

- Key elements form (KEF): Applicant's proposal for a paediatric-investigation-plan opinion

  Note on KEF:

  Key elements for all completed, ongoing or planned paediatric development are proposed in this form for assessment and inclusion in the PDCO opinion.

  Other information, background information, justification, additional details should be put in the Scientific document Parts B-F only.

  The KEF is not applicable for product-specific waiver applications.

- Literature references
- Signed and dated letter of authorisation (authorising the person appointed in form Part A, section A.1, to communicate with EMA regarding this paediatric procedure on behalf of the applicant).
- Supporting information (as listed in form Part A, section A.10), as a single zip file in case of multiple documents, otherwise a stand-alone document. *For example:*
  - scientific advice CHMP/NCA/third countries/FDA written requests;
  - risk management plan;
  - summary of product characteristics;
  - investigator's brochure;
  - European Commission decision on Orphan designation…

2.2. Answers to PDCO requests for modification (RfM) (resubmission following clock-stop)

- Response document to the PDCO request for modification (RfM), including a list of references used in the response, in Word format.

  *Note: An updated scientific document (Parts B-F) is **not** required and therefore should not be submitted. All answers, including rationale, must be provided in your response to the PDCO's request for modification document.*

- Literature references used in the response, in a single zip file (previously sent references should not be included).
- Supporting documents, that were not previously sent.

Only in case of changes to the previously submitted documents:

- Key elements form: Applicant's proposal for a paediatric-investigation-plan opinion
- Electronic form for paediatric-investigation-plan application and request for waiver – (PED1) certified

  (See also 'Note on Part A' in section 2.1 above)

- Signed and dated letter of authorisation (authorising the person appointed in form Part A, section A.1, to communicate with EMA regarding this paediatric procedure on behalf of the applicant).

2.3. Modification of an agreed PIP

- Electronic form for paediatric-investigation-plan application and request for waiver – (PED1) certified

  (See also 'Note on Part A' in section 2.1 above)

  Do not use the Part A form that was submitted for previous procedures. Information provided in all sections must be ***up-to-date****, including the product's current marketing authorisation status, authorised contact person, date of signature. Details must be in line with the EMA decision of the preceding procedure, including name of the active substance (unless INN has meanwhile been recommended), pharmaceutical form, route of administration and condition.*

- Request for modification of an agreed paediatric investigation plan template, listing **all** requested changes, in Word format.

  Note: Do not submit an updated scientific document (Parts B-F). All proposed modifications to the agreed PIP and rationale/justification should be listed in the 'Request for modification of an agreed paediatric investigation plan' template.

- Literature references used in the request.
- Supporting documents used in this request.
- Signed and dated letter of authorisation (authorising the person appointed in form Part A, section A.1, to communicate with EMA regarding this paediatric procedure on behalf of the applicant).
- Document "Decision with annexes" issued in the preceding procedure that is now being modified.

Only if new studies are being proposed in this modification procedure:

- Key elements form: Applicant's proposal for a paediatric-investigation-plan opinion.

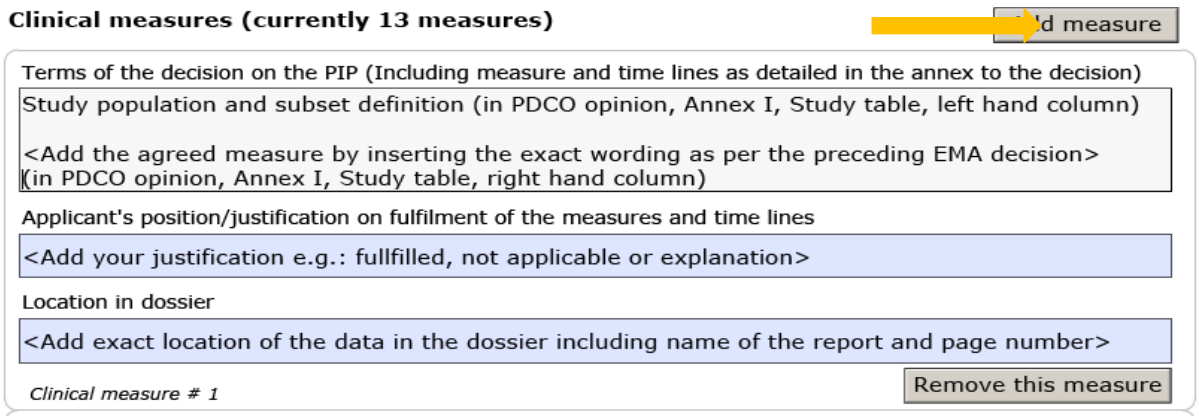
2.4. Compliance check request

- Request for compliance check on an agreed paediatric-investigation-plan form – (PED3) certified.

  Note on Request for Compliance check form:

  – *All sections should be up-to-date and in line with the EMA decision of the procedure that is being checked for compliance, incl.: name of the active substance (unless INN has meanwhile been recommended), pharmaceutical form, route of administration, condition and measures and timelines* ***to be checked****.*

  – *Each key element of each study that is to be checked for compliance is to be entered as a* ***separate*** *measure in the compliance check form using "Add measure"; see arrow and drafting notes in the following* ***example****:*



- Signed and dated letter of authorisation (authorising the person appointed in Compliance check form to communicate with EMA regarding this paediatric procedure on behalf of the applicant).
- Document "Decision with annexes" issued in the procedure that is being checked for compliance.
- Study report(s).

  Note: Full (complete) study reports should be submitted for the compliance check. If not yet issued, the latest available report or a similar document may be submitted, which must contain sufficient information to allow the check of compliance against the agreed key elements in the decision. In such cases, discussion of the suitability of the available report with the paediatric coordinator is recommended prior to submission of the compliance check. Individual patient data listings (section 16.4) are not required.
- Summary of product characteristics (SmPC) – if available.
- Evidence of study initiation – if available.

  Note: When initiation of a clinical study is not deferred, the applicant should submit a signed and dated declaration from the principal investigator certifying that at least one participant has been included in the study/trial (i.e. specifying the date of signature of the informed consent).
- Quality measures (e.g. age-appropriate formulation) – if available.

3. Naming convention

*Wherever the naming convention is **not** established in the following table, the document included in your submission should be named to reflect its content, starting with the procedure number where available. Please avoid using symbols, special characters, brackets, etc.*

Document type Link to ALL TEMPLATES	**Document format**	**Naming convention** ***Substitute xxxxxx with the 6-digit procedure number if available, otherwise leave blank***	**M - Mandatory** **N/A - Not applicable** **I/A - If applicable**			
			PIP and waiver	**Answer to RfM**	**Modification of an agreed PIP**	**Compliance check**
Electronic form for paediatric-investigation-plan application and request for waiver - (PED1) certified (Part A)	PDF active form	xxxxxx Application form	M	I/A	M	N/A
Signed and dated letter of authorisation	PDF/Word	xxxxxx LoA	M	I/A	M	M
Key elements form: Applicant's proposal for a paediatric-investigation-plan opinion	Word	xxxxxx KEF	M	I/A	I/A	N/A
Template for scientific document (part B-F)	Word	xxxxxx Scientific document	M	N/A	N/A	N/A
Supporting documents (as listed in form Part A, section A.10)	ZIP (if multiple documents)	xxxxxx Supporting documents (for ZIP file; stand-alone documents named as their content)	M	I/A	I/A	I/A
Literature references	ZIP	xxxxxx Literature	M	I/A	I/A	I/A

Document type Link to ALL TEMPLATES	**Document format**	**Naming convention** ***Substitute xxxxxx with the 6-digit procedure number if available, otherwise leave blank***	**M - Mandatory** **N/A - Not applicable** **I/A - If applicable**			
			PIP and waiver	**Answer to RfM**	**Modification of an agreed PIP**	**Compliance check**
Response document to PDCO Request for modifications (RfM) (no template available)	Word	xxxxxx Responses to RfM	N/A	M	N/A	N/A
Request for modification of an agreed paediatric investigation plan	Word	xxxxxx Request for modification	N/A	N/A	M	N/A
Request for compliance check on an agreed paediatric-investigation-plan form – (PED3) certified	PDF active form	xxxxxx Request for compliance check	N/A	N/A	N/A	M
Study reports (or equivalent)	ZIP	xxxxxx Study reports	N/A	N/A	N/A	I/A
Evidence of study initiation	PDF	xxxxxx Evidence of initiation	N/A	N/A	N/A	I/A
Quality measures	ZIP	xxxxxx Quality measures	N/A	N/A	N/A	I/A
"Decision with annexes"	PDF	xxxxxx Decision with annexes	N/A	N/A	M	M

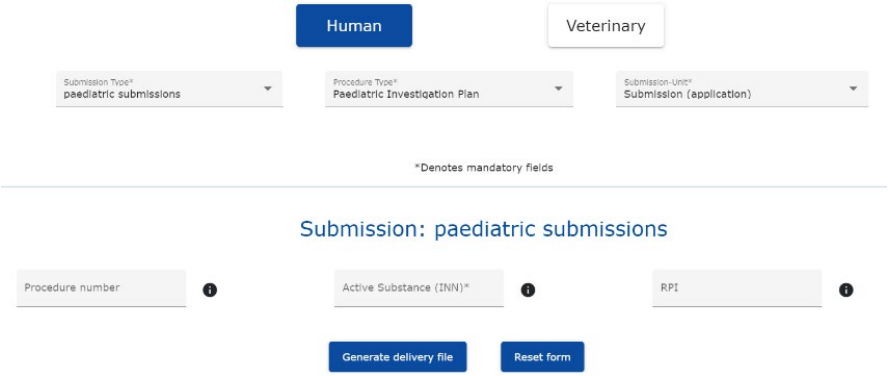
4. Paediatric submission – xml delivery file options

Refer to Paediatric submissions section in this guidance:

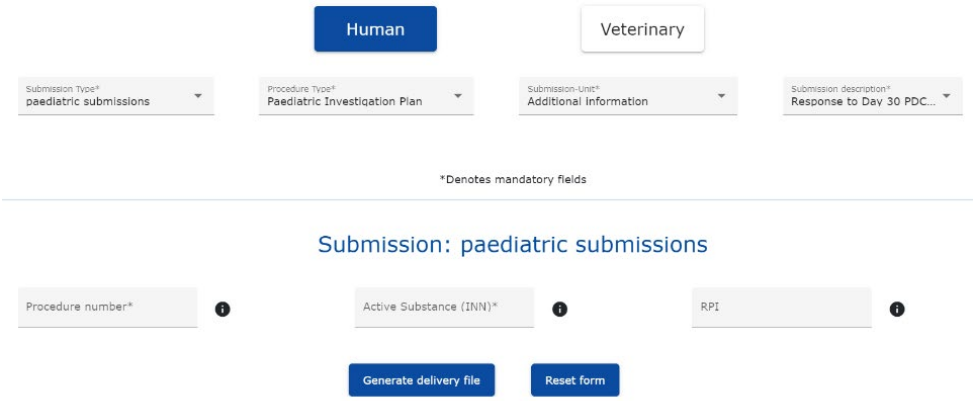
[User Guidance for submissions via eSubmission Gateway / eSubmission Syncplicity Web Client using xml delivery files]

Main page for creation of the XML delivery file: [Delivery file UI]

Example 1



Example 2



Procedure number: *If procedure number already exists (e.g. 2nd submission for the same active substance), complete in format EMEA-xxxxxx (otherwise leave blank)*

Active Substance (INN): *Use INN if approved*

RPI: *Mandatory*

4.1. Summary of all categories and subcategories

Submission type	Procedure Type	Submission-Unit	Submission description
Paediatric submissions *(Regulation (EC) No 1901/2006)*	**Paediatric Investigation Plan** *(Art 16(1) with or without Art 20 and Art 13)*	Pre-submission interaction	N/A
		Submission (application) *(Art 15)*	N/A
		Validation response *(Art 16.3)*	N/A
		Request for clarification interaction *(Art 17.2)*	N/A
		Answer to PDCO's request for modification *(Art 17.2)*	N/A
		Additional information *(if invited by the PDCO)*	Response to Day 30 PDCO discussion
			Response to Day 90 PDCO discussion
		Re-examination *(Art 25)*	N/A
		Withdrawal *(of an ongoing procedure)*	N/A
		Notification of change	Applicant change due to take-over by new legal entity
			Applicant particulars' change (legal entity unchanged)
			Authorised contact person change
			Public enquiry contact change
	Waiver *(At 13)*	Pre-submission interaction	N/A
		Submission (application) *(Art 13.1)*	N/A
		Validation response *(Art 16.3)*	N/A

		Answer to PDCO's request for information *(Art 13.2)*	N/A
		Additional information *(if invited by the PDCO)*	Response to Day 30 PDCO discussion
		Re-examination *(Art 25)*	N/A
		Withdrawal *(of a procedure)*	N/A
		Notification of change	Applicant change due to take-over by new legal entity
			Applicant particulars' change (legal entity unchanged)
			Authorised contact person change
			Public enquiry contact change
		Revocation *(Art 14)*	N/A
	Modification of an agreed PIP *(Art 22)*	Pre-submission interaction	N/A
		Submission (application)	N/A
		Additional information *(if invited by the PDCO)*	Response to Day 30 PDCO discussion
		Re-examination *(Art 25)*	N/A
		Withdrawal *(of an ongoing procedure)*	N/A
		Notification of change	Applicant change due to take-over by new legal entity
			Applicant particulars' change (legal entity unchanged)
			Authorised contact person change
			Public enquiry contact change

	Compliance check *(Art 23)*	Submission (application)	N/A
		Additional information *(if invited by the PDCO)*	Response to Day 30 PDCO discussion
		Withdrawal *(of an ongoing procedure)*	N/A
		Notification of change	Applicant change due to take-over by new legal entity
			Applicant particulars' change (legal entity unchanged)
			Authorised contact person change
			Public enquiry contact change
	Annual report[1] *use for Art 34 and Art 33)*	Submission (application)	N/A
	Discontinuation *(use for Art 35)*	Submission (application)	N/A
	Class-waiver confirmation request	Submission (application)	N/A
	Condition/indication confirmation request	Submission (application)	N/A

[1] *This category is to be used also for informing EMA about placing a product on the market in the relevant Member State(s) after completion of an agreed PIP (for the Art 33 Register).*