15-Shouan-No. 7396
March 31, 2004

To whom it may concern:

Director, Plant Products Safety Division, Food Safety and Consumer Affairs Bureau, Ministry of Agriculture, Forestry and Fisheries

Guidance for the preparation of the document annexed to the application for GLP inspection

The notification on the Good Laboratory Practice (GLP) for Agricultural Chemicals" (The notification from the Director-General of Agricultural Production Bureau, the Ministry of Agriculture, Forestry and Fisheries (October 1, 1999. Ref. No.11-Nousan-6283)), hereinafter referred to as "The notification on the GLP for Agricultural Chemicals") has assured the appropriate implementation of the toxicological studies. In accordance with Annex 11-1-(4)-(10) in "The Three-Year Programme for Promoting regulatory reform" (Cabinet decision on March 30, 2001), which stipulates that ministries and agencies shall work toward simplifying application procedures for the confirmation of GLP compliance, documents that need to be submitted by applicants for the confirmation of GLP compliance were standardized. Guidance for the preparation of documents concerning the confirmation of GLP compliance of agricultural chemicals is provided in the Annex, so please inform all personnel concerned in your institution about this. As an interim measure, the submission of documents prepared in accordance with Annex forms (1) through (4): "Application for the Standards Compliance Status" presented in Section 4 of The notification on the GLP for Agricultural Chemicals" (11-Yakken-No.1244 notified by the Director-General, Agricultural Chemicals Inspection Station, Ministry of Agriculture, Forestry and Fisheries) will be accepted until June 30, 2004.

Please inform your personnel that the following documents must also be submitted for the Agricultural Chemicals GLP in addition to those specified in the Annex.

Note

The Director-General of Food Safety and Consumer Affairs Bureau, MAFF will request the applicant to submit the following documents about two weeks prior to the inspection.

1. Nature of the GLP study and activities related to the study scheduled during the inspection period
   This document is required only when activities related to the GLP study are scheduled during the inspection period.
2. A copy of the study plan
   Submit a copy of the study plan for the agricultural chemical study already or currently being conducted. In the case where there is more than one study, submit a copy of the plan for a long-term study.
3. A copy of the Standard Operating Procedures (SOP)
   Submit a copy each of all SOPs concerning Agricultural Chemicals GLP at the first inspection. However, since the second inspection, submit a copy of the SOP designated by the inspector(s) based on Section 5 in Agricultural Chemicals GLP.

Annex

Guidance for Preparation of Documents Concerning the Confirmation of GLP Compliance of Agricultural Chemicals

- This document is guidance for preparation of documents to be attached to the application for the confirmation of the standards compliance status of the test facility or documents submitted before the inspection (investigation). The inspectors in charge will review the documents before the inspection (investigation), so please submit them to the Director-General of Food Safety and Consumer Affairs Bureau, Ministry of Agriculture, Forestry and Fisheries by about two months prior to the inspection.
- The prepared documents will be used for the preliminary hearings, explanation of the outline of the test facility on the first day of the inspection (investigation), facility-based inspection of the test facility, interviews of test facility management, and other related matters.
- The documents must be prepared in JIS A4 size. However, JIS A3 size is acceptable for documents that may be difficult for the inspectors (investigators) to read in A4 size, such as figures or illustrations of the test facility.
- The contents of the documents must, in principle, reflect the status of the test facility at the time of preparation of the documents. If the status at the inspection (investigation) greatly differs from that documented, attach a comparative table describing the differences.
- Photographs attached to the documents can be substituted for photo-quality clear copies.
- Attach a table of contents, and number all pages in the documents. No index is required.
- If the contents are the same, documents for different GLP standards can be combined by listing together the different terms used for individual GLP standards.

[Names of laws shortened in this guidance] In this guidance, the names of the following laws are shortened as below.

Law Concerning the Examination and Regulation of Manufacture, etc. of Chemical Substances: Chemical Substances Control Law

Industrial Safety and Health Law: Safety and Health Law

Law Concerning Safety Assurance and Quality Improvement of Feeds: Feed Safety Law

Table of Contents

1 Test Facility Inspected (Investigated)

(1) Name (Japanese and English)

When multiple facilities are inspected (investigated), write the names of individual test facilities.

(Example) ○○株式会社○○研究所

English name ○○ COMPANY, LIMITED, ○○ INSTITUTE

(2) Address (Japanese and English)

When multiple facilities are inspected (investigated), write the addresses of individual test facilities.

(Example) ○○県○○市○○1-2-3

English address 1-2-3, ○○, ○○, ○○

2 Areas or Items of the Studies

* Specify “the area of the study” for GLP standards based on the Agricultural Chemicals Regulation Law, “the item of the study” for GLP standards based on the Act on the Pharmaceuticals and Medical Devices Agency, Chemical Substances Control Law or Safety and Health Law and “the type of the study whose compliance status is to be confirmed” for GLP standards based on the Pharmaceutical Affairs Law (veterinary drugs).
* For GLP standards based on the Chemical Substances Control Law, when only some phases of a study on bioconcentration, etc. or toxicity, etc. are applied for the confirmation, specify the phases relevant to the confirmation by giving descriptive titles such as “a study on bioconcentration, etc. (study on partition coefficient of chemical substances between 1-octanol and water)” or “a study on toxicity, etc. (28-day repeated dose toxicity study).”
* For GLP standards based on the Pharmaceutical Affairs Law (veterinary drugs), specify the studies for which confirmation is requested, including those that have been intermitted for three or more years or have never been conducted but are practicable.
* For GLP standards based on the Agricultural Chemicals Regulation Law or the Act on the Pharmaceuticals and Medical Devices Agency, specify the studies for which confirmation is requested, including those practicable.

3 Conduct of the Studies Relevant to the Application

(1) For studies completed within the latest three years, specify the titles and serial numbers of the studies, GLP standards applied, name(s) of test item(s) (abbreviations or bynames acceptable), name(s) of study director(s), initiation and completion dates of the studies and remarks, if any, for each item or type of study in a table format.

(Example)

Studies completed within the latest three years

Type of study	Title and serial number of study	GLP Applied*	Test item(s)	Study director(s)	Study initiation date	Study completion date	Remarks
××study	××study, A001	(C) (S) (P) (A)	□□	○○ ○○	year○○/ month○/ day○	year○○/ month○/ day○	
	××study, A002	(C) (S) (P) (A)	ΔΔ	○○ ○○	year○○/ month○/ day○	year○○/ month○/ day○	
○○study	○○, B○○	(C) (S) (P) (A)	○○	○○ ○○	year○○/ month○/ day○	year○○/ month○/ day○	

Note :(C); Chemical Substances Control Law, (S): Safety and Health Law, (P); the Pharmaceutical Affairs Law, (A); the Agricultural Chemicals Regulation Law

(2) Report the annual number of studies conducted within the last decade for each study type. Count the GLP-applied studies separately from other studies.

* Count the number of studies based on the study initiation year.

(Example)

Number of studies conducted (latest 10 years)

Type of study / Year	××study	○○study	・・・
year○	○ (including ○ GLP-applied studies)	○ (including ○ GLP-applied studies)	・・・
year○	○ (including ○ GLP-applied studies)	○ (including ○ GLP-applied studies)	・・・
year○	○ (including ○ GLP-applied studies)	○ (including ○ GLP-applied studies)	・・・

4 Regulations Concerning Internal Audits and Conduct of Internal Audits over the Last Three Years

Describe the regulations concerning internal audits.

For internal audits conducted over the latest three years, indicate the annual number of audits conducted for each study (status of the conduct of the study, final report, and other relevant information), facility, and other relevant details.

(Example)

Regulations concerning internal audits are provided in the following Standard Operating Procedures (SOPs).

SOP number	Title
SOP/QAU/***	Work of Quality Assurance Unit
SOP/QAU/***	・・・
SOP/QAU/***	・・・
・・・	・・・

Internal audits conducted over the last three years

Numbers of internal audits on studies

Year	Audit/inspection item	○○study	××study	ΔΔstudy	□□study
	Study plan	○○	○○	○○	○○
	Status of conduct of study	○○	○○	○○	○○
	Final report	○○	○○	○○	○○
	・・・	○○	○○	○○	○○
	・・・	・・・	・・・	・・・	・・・
	・・・	・・・	・・・	・・・	・・・
	・・・	・・・	・・・	・・・	・・・
	・・・	・・・	・・・	・・・	・・・
	・・・	・・・	・・・	・・・	・・・
	・・・	・・・	・・・	・・・	・・・

Numbers of internal audits on facility and other relevant information

Year	Apparatus/ equipment	Test item/ reagent	Sample/ Material storage	Wastes	Education/ training	Others ( )
	○○	○○	○○	○○	○○	○○
	○○	○○	○○	○○	○○	○○
	○○	○○	○○	○○	○○	○○

5 Historical Background (Established date, GLP-applied studies initiation dates, dates and results of inspections (investigations) conducted by authorities, and other related background information)

Describe the historical background of the facility (establishment, transfer, merger with other units, etc.), initiation dates of GLP-applied studies, etc.

1) Year and month of establishment
2) Purpose of establishment
3) Founder
4) Year and month of initiation of GLP-applied studies (write individually for each study type)
5) Name of the computerized system, year and month of initiation of its development and operation
6) Dates, evaluation results, and notification dates of the results of GLP inspections (investigations) conducted by authorities
7) Change(s) including extension and reconstruction of the facility (Specify any change(s) made since the last inspection (investigation) in the second and later inspections (investigations).)

(Example)

Year Month	Events
year○month○	Established in ○○City, ○○Prefecture as a clinical inspection company
year○month○	Laboratory transferred to ΔΔCity, ΔΔPrefecture and renamed Safety Research Center
year○month○	GLP application on ○○study and ××study initiated
year○month○	SPF animal house (rats, mice) extended
year○month○	Name changed to Safety Research Laboratory following the institutional reform, three-offices-per-section system established
year○month○	GLP application on ΔΔstudy initiated
year○month○	Central system for managing study data and animals introduced
year○month○day○-○	ΔΔGLP inspection by ○○Ministry (evaluation results notified on year○month○day○, evaluated as○)
year○month○	GLP application on □□study initiated
year○month○	Archive facility constructed
year○month○	Central system for managing study data and animals modified
year○month○day○-○	ΔΔGLP inspection by ○○Ministry (evaluation results notified on year○month○day○, evaluated as ○)
year○month○	SPF animal house (rats, mice) reconstructed and rabbit house extended

6 Photograph or Illustration of the Entire Facility and Figures or Illustrations of Test Facility Premises Location (Floor Plan of the Test Facility)

(1) Photograph or illustration of the entire facility

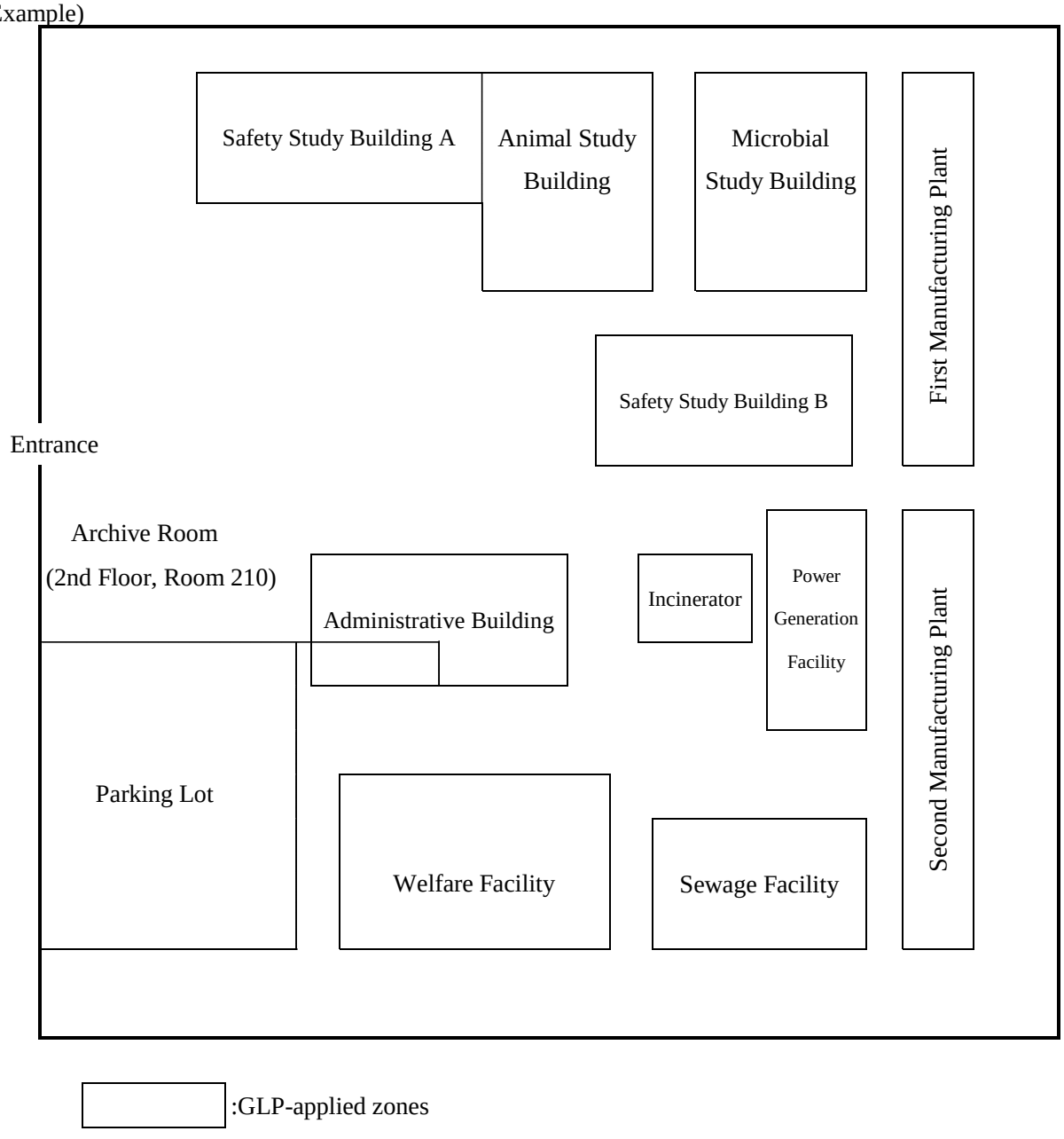
Submit a photograph or illustration depicting the entire outline of the facility (including the unit(s) inspected (investigated) as well as any other units such as factories, etc. built on the site).

(Example) Attach a photograph, etc.

(2) Figures or illustration of test facility premises location (floor plan of the test facility)

The figure or illustration does not need to be an exact miniature, as long as it depicts the layout of the facility. Indicate the GLP-applied zones (or the corresponding parts if the facility is only partly covered by GLP) as italics, shaded areas, bold lines, colored areas, and other such indications, and specify the name of the facility, room numbers, and other related details.

(Example)



:GLP-applied zones

7 Area of the Test Facility Site

Indicate the area of the test facility site.

(Example) Area of the site ○○○○m^2

8 Number of Stories and Total Floor Area of Premises Equipped with Apparatus (Premise Area)

Indicate the total floor area of premises equipped with apparatus, etc. and the number of stories and floor area for each of the premises.

Separately indicate the floor areas of GLP zones and non-GLP zones.

If there is more than one GLP standard applied to the facility, specify the titles of the corresponding GLP standards in the remarks column.

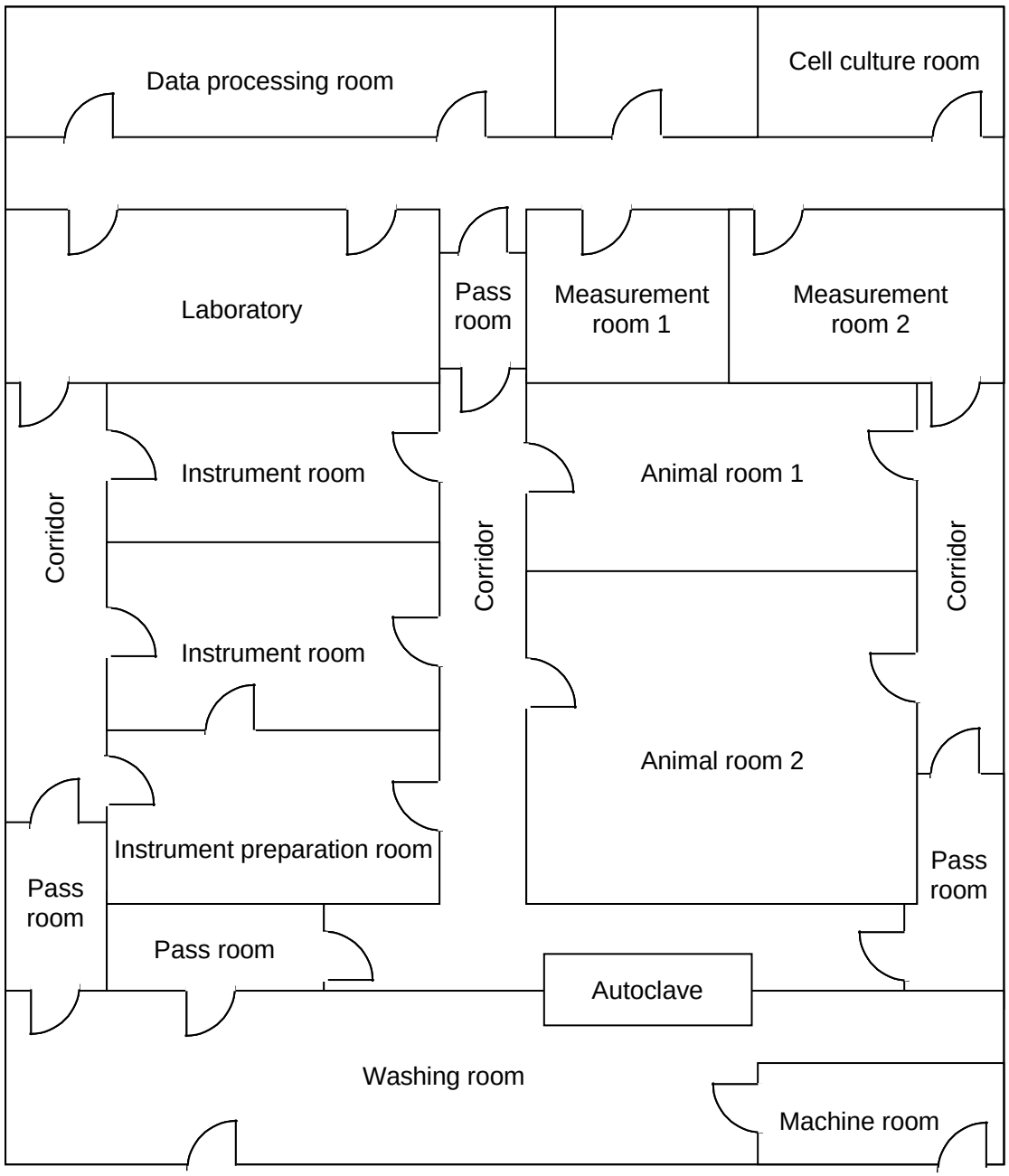
(Example)

Facility name	Number of stories	Floor area			Remarks
		GLP zone	Non-GLP zone	Total	
Research Building	○-story building	○○m^2	○○m^2		
○○Laboratory	○th floor			○○m^2	
Archive Room	○th floor			○○m^2	
Lab Workers' Office	○th floor			○○m^2	
Animal Building	○-story building	○○m^2	○○m^2		
Animal Housing Room	○th floor			○○m^2	
Animal Dissection Room	○th floor			○○m^2	
Feed Mixing Room	○th floor			○○m^2	
Pathology Room	○th floor			○○m^2	
Microscopy Room	○th floor			○○m^2	
Administrative Building	○-story building	○○m^2	○○m^2		
Administration Office	○th floor			○○m^2	
Quality Assurance Room	○th floor			○○m^2	
Waste Storage	○th floor			○○m^2	
Effluent Treatment Facility	○th floor			○○m^2	
Total Floor Area		○○○m^2	○○○m^2	○○○m^2	

9 Floor Plans of Premises (Location of Major Facilities, Apparatus, and Other Related Information)

Provide a floor plan depicting the location of major apparatus, etc. for each floor of major facilities. Attach photographs if necessary.

(Example) Safety Study Building A



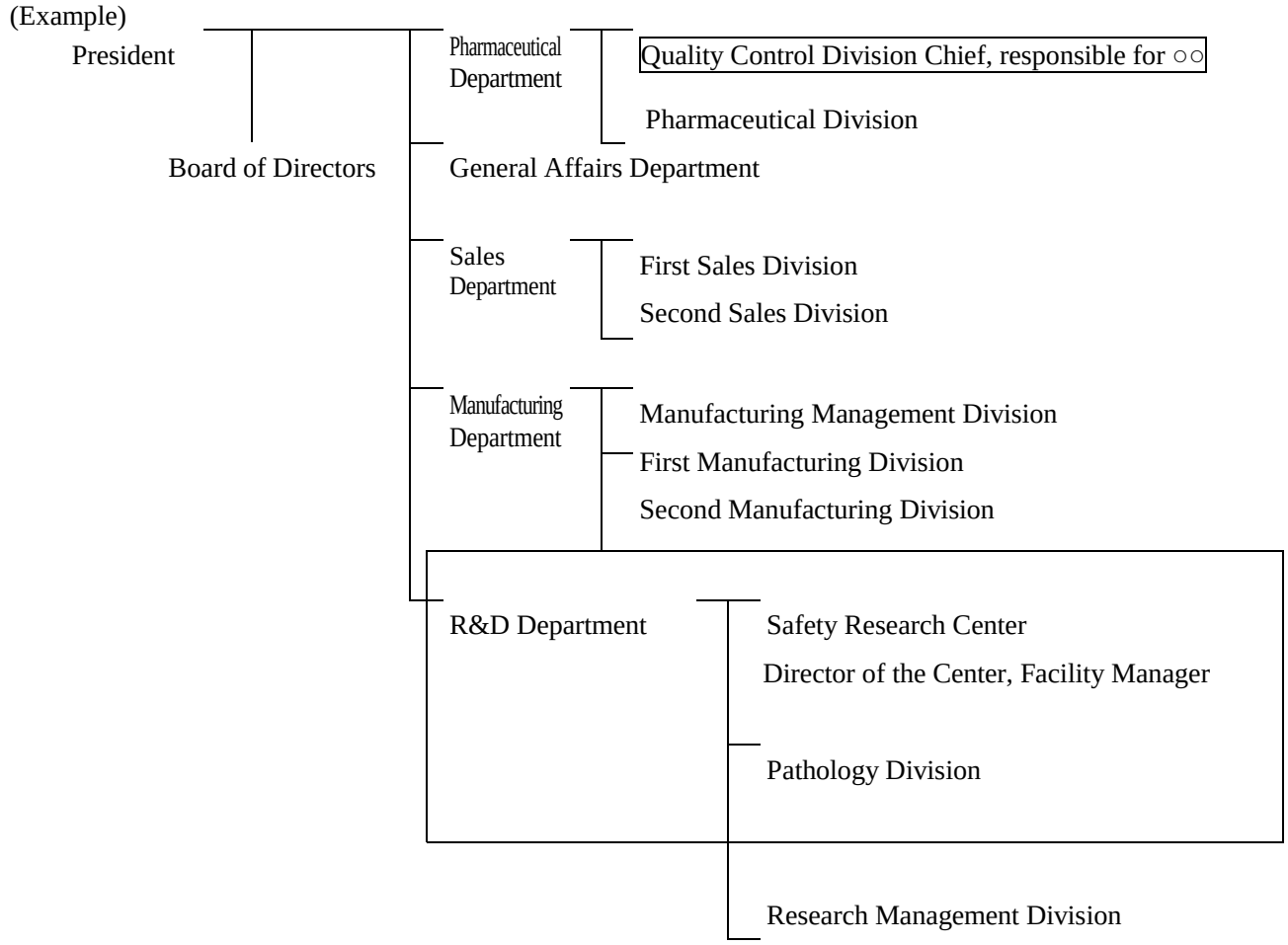
10 Organization and Personnel of Test Facility and Other Related Information

(1) Company organization

Provide a table, etc. illustrating the relationship between the company organization and the GLP organization.

Mark the GLP organizations, e.g., by drawing boxes around them.

Write the job titles of GLP organization key personnel, in the context of company organization and GLP organization. If required, write the names of the personnel.



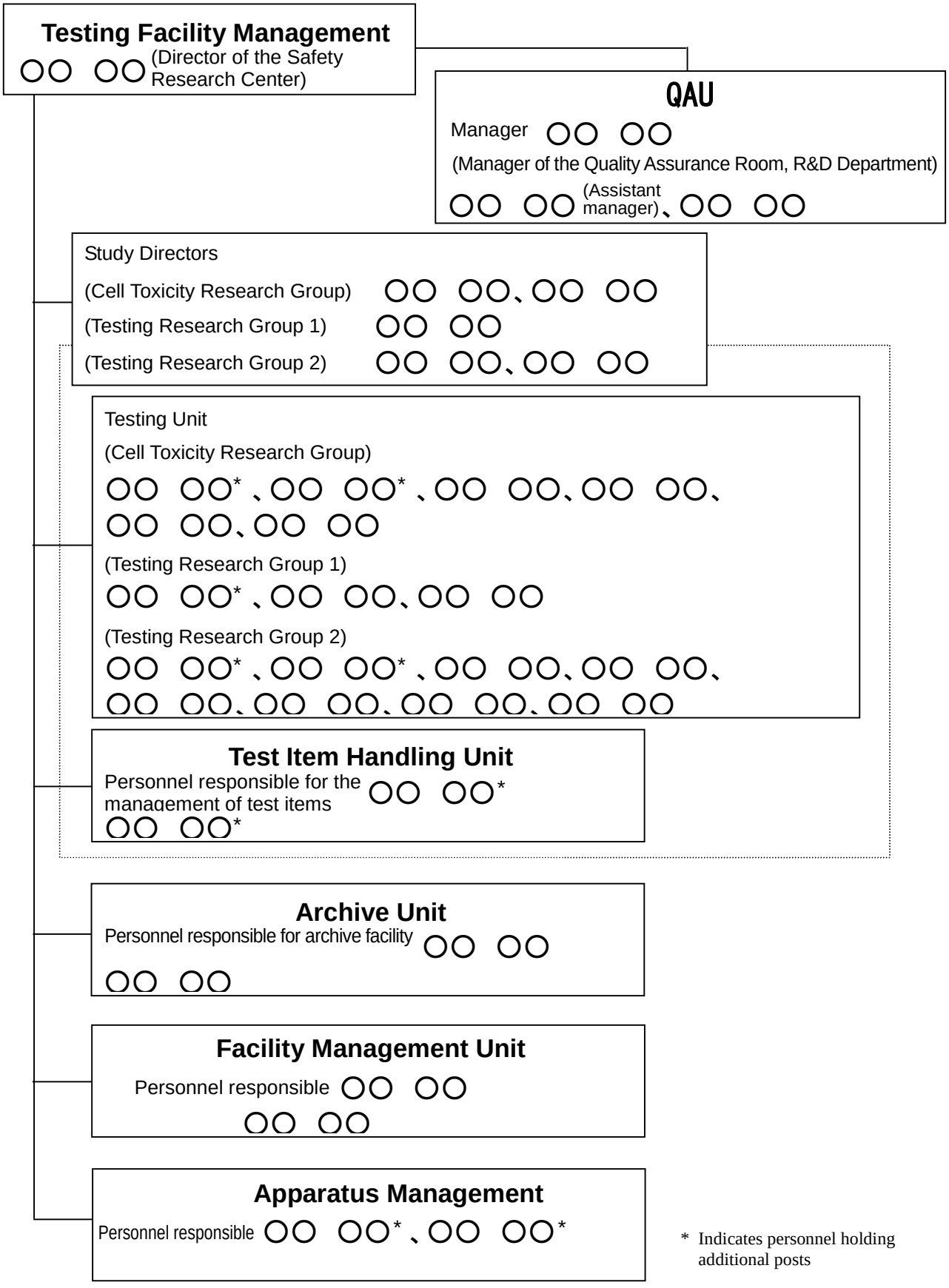
: Units in charge of GLP-applied studies

(2) GLP organization

Provide a chart describing the roles of test facility management, Study Director, testing unit, Quality Assurance Unit (QAU), archive unit, test item handling unit, animal care unit, pathology unit, system management unit, equipment management unit, facility management unit, etc. and the outline of the line of command. Include the names of the responsible persons and the personnel of individual sections.

* Describe the relationship between the GLP organization and the company organization. For example, if the test facility management is the director of the Safety Research Center, indicate the position in the GLP organization and then, the position in the company in parentheses, e.g., Test facility management (Director of the Safety Research Center).

(Example)



* Indicates personnel holding additional posts

(3) Composition and other related information for GLP organization personnel

1) Total number of GLP organization personnel (including dispatched personnel, temporary workers, foreign personnel, and other personnel)

Indicate in parentheses the number of dispatched personnel, temporary workers, etc. included in the count.

Indicate the name of the employment agency beside the number of dispatched personnel.

(Example) ○○ (including ○ dispatched personnel from ΔΔ Employment Agency)

2) University departments, academic degrees, licenses, and other related information for GLP organization personnel

Indicate in parentheses the number of dispatched personnel, temporary workers, etc. included in the count.

Indicate the name of the employment agency beside the number of dispatched personnel.

(Example)

	University department etc.	Degree		License					
		Master	Doctor	Veterinary	Medical	Pharmacy	Clinical technologist	Certified toxicologist	Japan Society of Quality Assurance QAP
Veterinary	3		1	3					
Medicine	1		3*		1				
Pharmacy	1					1			1
Agriculture	8	3	2	3				1	
Science	2		1						
Engineering	1								
Fishery science	1								
Others	0								
Junior college	3						1		
Vocational school	13						1		
High school	12 (3)								
Junior-high school	2								
Total	47	3	7	6	1	1	2	1	1

*one from ○○ department, one from □□ department

The number in parentheses represents dispatched personnel from ΔΔ Employment Agency

Note: The following are some examples of the relevant licenses certified by academic societies, etc.

Approved Pathology Specialist (The Japanese Society of Veterinary Science), Approved Pathology Specialist (The Japanese Society of Toxicologic Pathology), Certified Toxicologist (The Japanese Society of Toxicology), Japanese Teratology Society-approved Reproductive and Developmental Toxicologist (The Japanese Teratology Society), Laboratory Animal Technician (Japanese Society for Laboratory Animal Resources), QAP (Japan Society of Quality Assurance), Approved Engineer (Japan Association of Contract Laboratories for Safety Evaluation), Qualified Laboratory Technologist in Experimental Pathology (The Japanese Association of Histotechnology), Advanced Electron Microscopy Techniques (The Japanese Society of Microscopy), etc.

3) Composition of GLP organization personnel by unit

Indicate the number of personnel for individual units, e.g., Quality Assurance Unit (QAU), Testing Unit, Archive Unit, and all other units.

(Example)

Unit	Employees	Dispatched personnel, temporary workers, etc.	Total
Test Facility Management	1	0	1
Quality Assurance Unit	3	0	3
Testing unit	20	0	20
Archive unit	2 (including 1 holding additional post)	0	2 (including 1 holding additional post)
Test substance handling unit	2	2	4
Facility management unit	2	3	5
Total	29 (1)	5	34 (1)

* If there are personnel holding additional posts, indicate in parentheses the number of such personnel included in the count in the column for the secondarily engaged unit.

11 Summary and Recent Status of Personnel Education, Training, and Other Related Information

Categorize the education and training events relevant to GLP or the conduct of GLP-applied studies into the following categories 1) through 5), and summarize each event.

1) New employee education

2) On the job training (OJT)

3) In-house training (training at the company, including invitation of lecturers)

4) Out-company training

5) Participation in academic meetings, etc.

In addition, describe the status of the implementation of such events over the last three years or last year (contents (title), trainee (participant) names, etc.).

* Describe the status of the implementation over the last year for GLP based on the Act on the Pharmaceuticals and Medical Devices Agency or Feed Safety Law, over a period from the beginning of the last fiscal year until today for GLP based on the Pharmaceutical Affairs Law (veterinary drugs) and over the last three years for GLP based on the Agricultural Chemicals Regulation Law, Chemical Substances Control Law or Safety and Health Law.

(Example)

Summary of education, training, etc.

1) New employee education

1. GLP training at company orientation

Intended for new employees, held in early April, based on the GLP educational policy....

. . .

3) In-house training

1. GLP education, computer training

Intended for new employees, transferees, etc., held in July for thorough understanding of the GLP system and safety....

. . .

5) Academic meetings, etc.

1. Various academic meetings

Participation by those interested in fostering and advancement of specialized knowledge and....

Status of implementation

1) New employee education

1. GLP education

Date: April 2-14, year○○

Lecturer: ○○ ○○ Trainee: ○○ ○○

. . .

2) In-house training

1. GLP education, computer training

Date: July 12, year○○

Lecturer: ○○ ○○ Trainee attribute: person responsible for ○○, person in charge of ○○, ○ in total

. . .

5) Academic meetings, etc.

The Japanese Society of ×× November 14-17, year○○

Participants: ○○ ○○, ○○ ○○, ○○ ○○

12 Study Director's Experience in Conducting Studies

For each Study Director, indicate the numbers of studies conducted in the past and those conducted as the Study Director.

For Study Directors who have conducted more than 10 studies, it is acceptable to write the approximate number, e.g., "about ○."

(Example)

Name	Number of studies conducted (as the Study Director)
○○ ○○	○○ study : 38 (26) ×× study : 8 (6) ΔΔ study : 5 (3)
○○ ○○	××× study : 58 (42) ○○○ study : 4 (1)

13 Work Contents, Names, Job Titles, Licenses, Job and Research Careers, Academic Society Membership, and Other Related Information for Test Facility Management and Other Major Personnel

For the personnel specified in 1) to 9), specify the work contents, names, birth dates, job titles, academic degrees, qualifications and licenses, job and research careers, training experience, academic society membership and organizational affiliations. Attach a list of research paper publications and presentations.

1) Test facility management
2) Study Director (list all personnel potentially appointed as the Study Director)
3) Personnel responsible for archive facility
4) Personnel responsible for the management of test and reference item (if appointed)
5) Personnel responsible for animal care (if appointed)
6) Personnel responsible for pathology (if appointed) and personnel conducting microscopic examination in histopathology (if appointed)
7) All personnel in charge of Quality Assurance Unit (QAU)
8) Personnel responsible for the management of the apparatus (if appointed)
9) Other personnel responsible (if appointed)

*1 Write the names of the currently appointed personnel.

*2 For 7), notify any sharing of work in Quality Assurance Unit.

*3 For research careers and training experience, describe the contents of the studies conducted in the parent organizations (or universities, etc.), indicate any experience of GLP studies, and summarize the research performance (research papers, presentations at academic meetings, etc.). For research papers, presentations at academic meetings, etc., include only those relevant to the studies whose compliance status with GLP is to be confirmed. If there are more than five papers for each study area (e.g., general toxicity, pathology, etc.), describe five major papers for each area and write "○○ more papers."

*4 Item 3) "Personnel responsible for archive facility" refers to the personnel responsible for storing samples and materials for GLP based on the Chemical Substances Control Law or Safety and Health Law, the personnel responsible for the management of the archive for GLP based on the Agricultural Chemicals Regulation Law or Feed Safety Law and the personnel responsible for archive facility for GLP based on the Pharmaceutical Affairs Law (veterinary drugs) or the Act on the Pharmaceuticals and Medical Devices Agency.

*5 For item 8), specify the names of major equipment managed by the personnel (notify accordingly if different individuals are appointed for the individual study area or facility) and names and job titles of the personnel.

It is acceptable to write the names of the major equipment managed by the personnel in 23, if notified accordingly.

(Example)

Work content	Study Director (since year○month○ until now)
Name	○○ ○○
Birth date	year○○month○○day○○
Job title	Safety Research Department, Pathology Research Group Leader
Degree/ Qualification and license	May 1977 obtained the Pharmacy license (no. ○○) March 1979 obtained a Master's degree in Pharmacy March 1993 certified as an Approved Pathology Specialist by the Japanese Society of Toxicologic Pathology (no.○○) April 1993 certified as an Approved Pathology Specialist by the Japanese Society of Veterinary Science (no. ○○)
Job career	1977 graduated from Department of Pharmaceutical Chemistry, Faculty of Pharmaceutical Science, ○○ University 1979 finished Master's graduate course in Pharmaceutical Science, ○○ University Graduate School April 1979~March 1985 worked as a First Research G Researcher at Safety Research Center, ○○ Pharmaceuticals Co. Ltd. April 1985~March 1993 worked as a Pathology Research G Researcher at Safety Research Center, ○○ Pharmaceuticals Co. Ltd. April 1993~today working as a Pathology Research G Principal Researcher at Safety Research Center, ○○ Pharmaceuticals Co. Ltd.
Research career and Training experience	Pathology April 1982~today ○○ Pharmaceuticals Co. Ltd.: papers 1~3 April 1983~March 1985 Research student in Pathology Course ○, ○○ University: papers 4~5 ○○ study April 1979~March 1985 ○○ Pharmaceuticals Co. Ltd.: papers 6~10 ×× study April 1981~today ○○ Pharmaceuticals Co. Ltd.: papers 10~15
Academic society membership	Japanese Society of Pathology, Japanese Cancer Association, Japanese Society of Toxicologic Pathology
Organizational affiliation	Japanese College of Veterinary Pathologists (member)

* Attach a list of research papers and presentations at academic meetings.

14 Organization of Quality Assurance Unit (QAU)

State whether Quality Assurance Unit (QAU) is established as a permanent organization.

(Example) QAU is established as a permanent organization.

15 Major Work of GLP Organization Personnel

Summarize all work conducted in the relevant testing facility. Briefly describe the content of any work other than those covered by GLP (non-GLP work).

(Example)

- ○○ study
- □□ study
- ΔΔ study
- (×× study)

16 Animal Housing Capacity of Study Unit

Indicate the animal housing capacity for each premise.

Notify accordingly if any of the premises are simultaneously or alternately used for housing more than one animal species.

Notify if a premise has no animal housing capacity.

(Example)

Premise	Room no.	Number of rooms	Grade	Animal species	Quantity of housing units (cages/tanks)	Maximum capacity (size)
Building 1	101~105	5	Barrier	Mice	30×5 cage	1,500
	201~204	4	Barrier	Mice	30×4 cage	600
	301~303	3	Barrier	Rats	25×3 cage	375
Building 2	201~206 *rabbits or guinea pigs used depending on the type of the study.	6	Conventional	Rabbits Guinea pigs	50×6 cage 25×6 cage	300 450
	207~211	5	Conventional	Rats	30×5 cage	750
Cow barn	101	1	Conventional	Cattle	6 pens	6
Fish medical ward	206	1	Conventional	Red sea bream	0.3t tank×10	2,000 (15g)

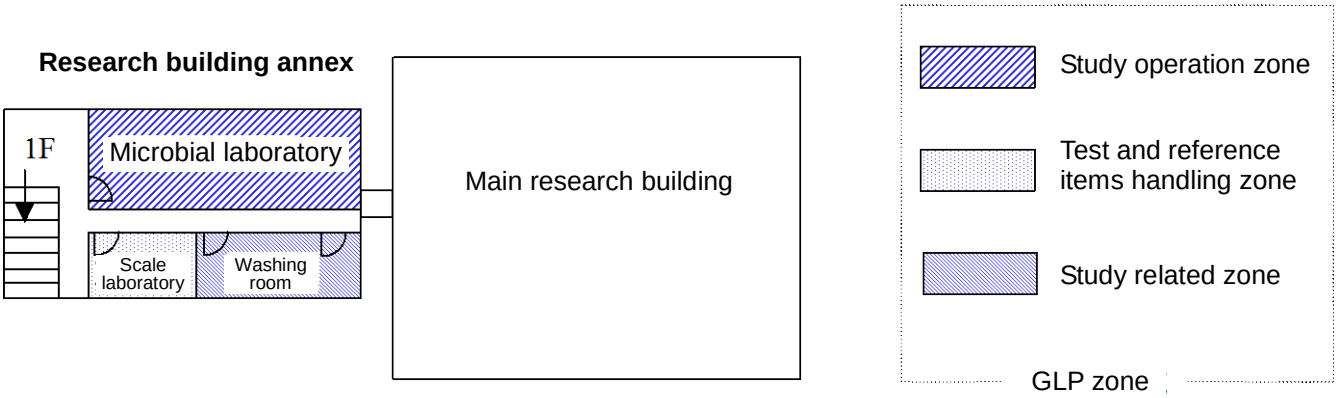
17 Floor Plans, Circulation Diagrams and Air Conditioning Diagrams for Individual Operation Zones of Safety (Toxicity and Other Related Information) Study Unit

(1) Floor plans for individual operation zones

1) Prepare floor plans depicting the location of major apparatus, equipment, etc. in rooms for individual animal housing zones and other operation zones. Distinguish between the GLP zone and non-GLP zones, and specify the names (purposes) of the rooms. Attach photographs of major apparatus if necessary.

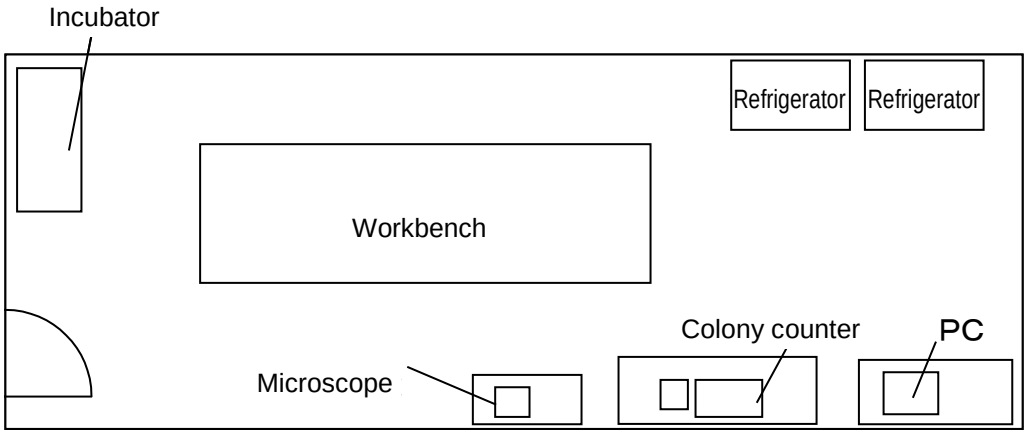
* Clearly indicate the boundaries of barrier housing rooms, e.g., in bold letters.

(Example)



(a) Study operation zone

Microbial laboratory



(b) Test and reference items handling zone

……

(2) Circulation diagram

Prepare diagrams describing items 1) to 6).

1) Circulation of animals, from carrying-in and carrying-out (including dissection room)

2) Carry-in and -out routes of animal feed (basic feed), equipment, etc.

3) Carry-out route of waste (sewage) from the animal housing room

4) Route for human entrance into and exit from the animal housing room

5) Circulation of test items (or mixture) and positive reference items

6) Flow of waste (including wastewater)

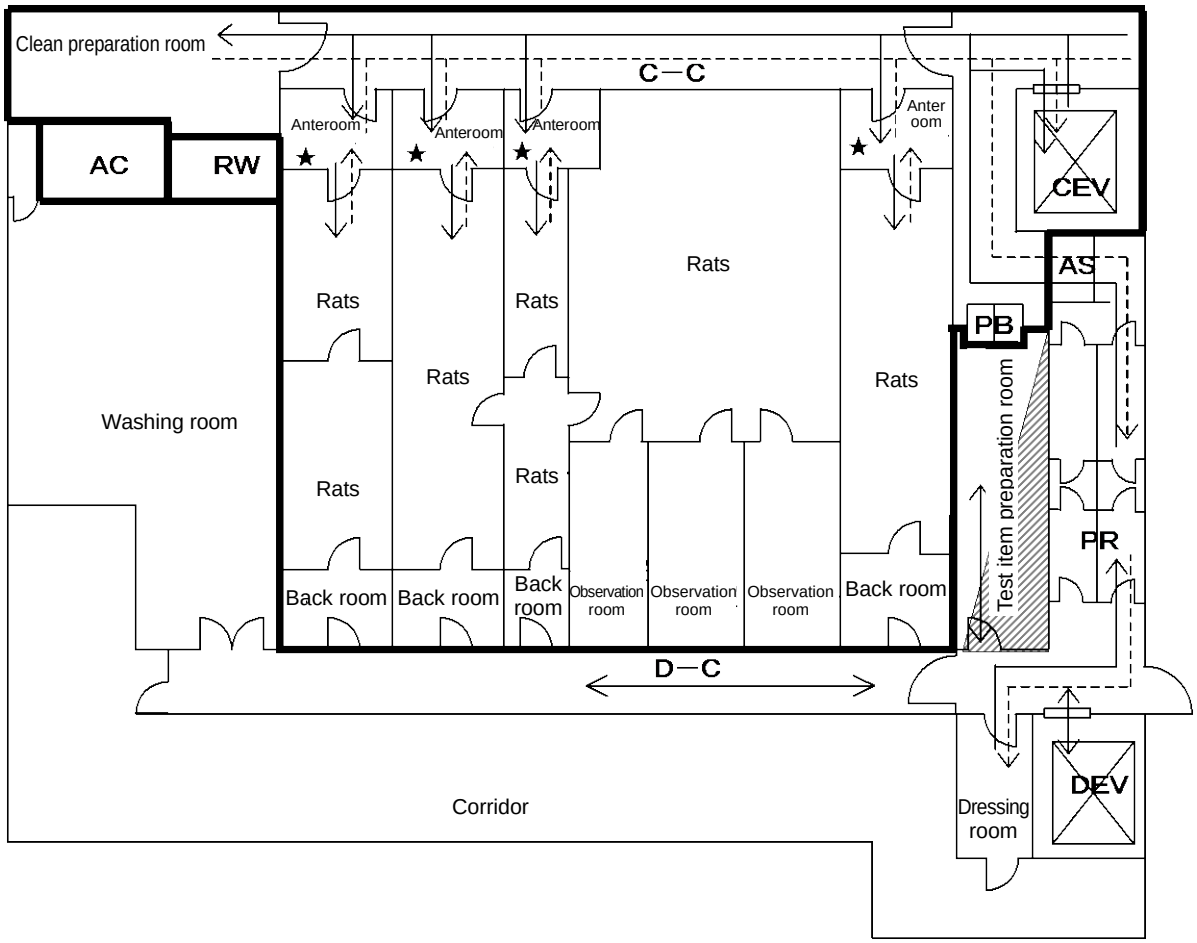
*1 Make the diagrams comprehensible, e.g., in different colors.

*2 Clearly indicate the boundaries of barrier animal rooms, e.g., in bold lines.

*3 For item 4), prepare separate diagrams for clean operation and dirty operation.

*4 Prepare diagrams describing items 1) to 4) for animal housing zones (including any relevant facility other than the animal housing zones).

(Example) Route of human entrance into and exit from the animal housing room



: Barrier housing facility : Test/reference items handling facility

: Dirty operation zone

★: Changing into dust-free garments and special footwear for animal housing rooms

: Route of entrance into barrier animal facility

: Route of exit from barrier animal facility

: Route of entrance and exit for dirty operation

AS: air shower
RW: rack washer
AC: autoclave
PR: pass room (undressing, shower, dressing)
CEV: clean elevator
DEV: dirty elevator
C-C: clean corridor
D-C: dirty corridor
PB: pass box

(3) Air conditioning diagram

Prepare 1) and 2).

1) Schematic diagram of air conditioning in the facility

2) Schematic diagram of air flow in barrier system

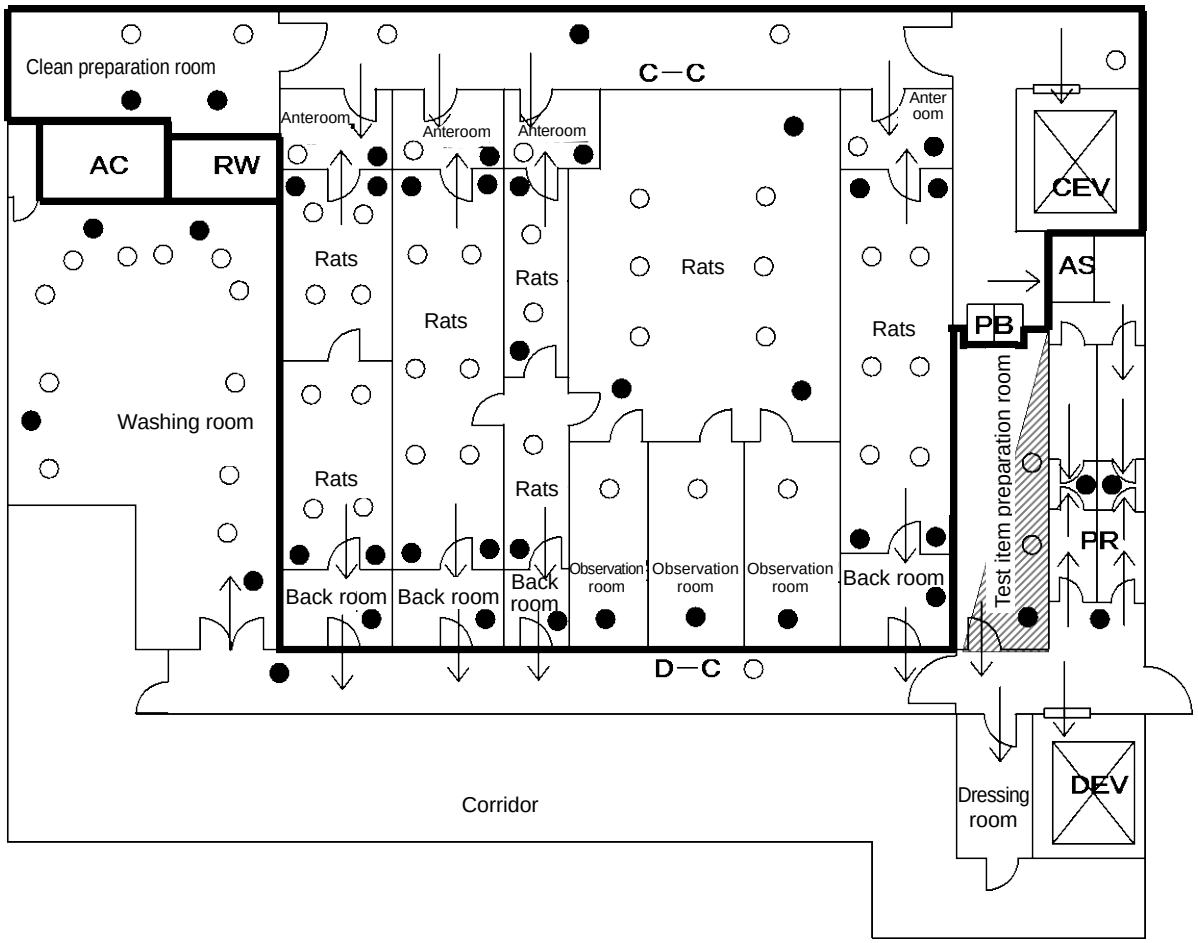
*1 Make the diagrams comprehensible, e.g., in different colors.

*2 Specify the type of air filters.

*3 Locate any heat exchange performed by air supply and evacuation.

*4 Locate air supply and exhaust openings.

(Example) Schematic diagram of air conditioning in the facility



: Barrier housing facility : Test/reference items handling facility

: Dirty operation zone

: Air flow

○: Air supply opening

●: Exhaust opening

AS: air shower
RW: rack washer
AC: autoclave
PR: pass room (undressing, shower, dressing)
CEV: clean elevator
DEV: dirty elevator
C-C: clean corridor
D-C: dirty corridor
PB: pass box

18 Handling and Disposal of Waste

Describe the handling and disposal of waste.

(Example)

(1) Animal carcasses

1 Packed in a plastic bag inside an exclusive container that is sealed and temporarily stored in a freezer

2 Regularly (once a week) collected by waste disposal services (×× Co., Ltd., ○○ governor approval no.××)

3 Transported by waste disposal services via ○○, incinerated at ×× and buried in □□

(2) Disposal of wastewater, etc.

……

19 Names, Quantities, Models, and Other Related Information of Major Apparatus used for Studies (Types and Nature of Apparatus)

Specify the names, quantities, manufacturers, models, etc. of major apparatus and equipment used for the study for individual installation sites.

* Also include major computers used for analyzing study data and major equipment, etc. used for controlling facility environment.
* Indicate the magnification of microscopes and reading accuracy of scales in the remarks column.

(Example)

Installation site	Name	Quantity	Manufacturer	Model	(Purchase date)	Remarks
○○	○○	1	○○	○○-○○	○/○/○	○○○○
・・・	・・・	・・・	・・・	・・・	・・・	・・・

20 Status of Animal Housing Facility

(1) Housing conditions

Specify the temperature, water temperature (for fish), humidity, light (illumination intensity), lighting hours, noise, cleanliness (dust, microbes, etc.), ventilation frequency, differential pressure, etc. Separately indicate each if the conditions differ between the barrier and conventional areas.

(Example)

Item		Barrier area	Conventional area
Temperature	Management criteria	21-25°C	
	Tolerance level	20-26°C	
Humidity (relative humidity)	Management criteria	45-65%	
	Tolerance level	35-75%	
Light (illumination intensity)	Management criteria	350 lux or higher	
Noise	Management criteria	55dB or lower	
Cleanliness (airborne bacteria)	Management criteria	4 colonies or less/plate	40 colonies or less/plate
Differential pressure	Management criteria	1 mmH_2O or higher	
Ventilation frequency	Management criteria	20 times or more/hour	15 times or more/hour
	Tolerance level	12 times or more/hour	

(2) Supplier of analysis data and frequency of analysis on feed, water, and bedding

Specify each for type of feed, water, and bedding.

(Example)

Feed Nutritional analysis (obtained from the supplier, per lot)
Trace toxic substance analysis (obtained from the supplier, analyzed per lot)
Microbial examination (obtained from the supplier, analyzed per lot, conducted here once every year)

Water Water examination (commissioned, ○ times per year)

Bedding Trace toxic substance analysis (obtained from the supplier, once about every ○ months)

(3) Status of microbial monitoring in animal housing rooms and other related information

If microbial monitoring such as airborne bacteria count, etc. is conducted, specify the measurement sites (indicate the position of petri dishes as ●) using the floor plan of the animal housing room, and describe the overall condition including measurement frequency, criteria, etc.

21 Environmental Control, Monitoring Procedures, and Other Related Information of Important Zones

For important zones specified in 1) to 5) where temperature, humidity, differential pressure, etc. are controlled, describe the methods of environmental control and monitoring and measures taken in the event of problems.

1) Animal housing zone
2) Animal supplies storage zone
3) Test items, etc. storage zone
4) Study operation zone
5) Special study zones including chemo (chemical hazard) and biohazard containment zones

* For describing the measures taken in the event of problems, refer to the facility regulation and SOP and include the following points:

- Contact from individual(s) who found the problem (How can the problems be detected? Monitoring system, etc.)
- By what means and to whom is the problem reported? (emergency contact system (network), etc.)
- Who judges the report received? Who takes actual measures? Etc.

(Example)

A central monitoring apparatus for the air conditioning system is installed in the central control room. The apparatus monitors and controls the temperature and humidity around-the-clock in the animal housing room, archive room, and low-temperature laboratory.

Any problem in ○○ is ・・・ by the central control room

22 Status of Washing, Disinfection, and Other Related Information

(1) Use of detergents and disinfectants

Describe the use of detergents and disinfectants for each category.

Describe the washing and disinfection procedures.

(Example)

Item / Category	Replacement frequency (/week)	Washing	Disinfection	Sterilization	Cleaning	Rinsing after disinfection
a) Cage						
b) Feeder						
c) Water bottle						
d) Counter						
e) Hutch						
f) Case card (label holder)						
g) Automatic feeder						
h) Automatic waterer						
i) Water tank						
j) Feed container (in animal housing room)						
k) Floor						
l) Ceiling						
m) Wall						
n) Drainage						
o) Lamp						

(2) Use of pest control agents

Describe the use of pest control agents.

(Example)

Used once a year for every floor. Last used on year○month○day○.

23 Animals and Care of Animals

(1) Methods of receipt, quarantine, and care of animals

Briefly describe 1) to 6). They may be described separately for individual animal species.

1) Information concerning received animals (producers (in-house production, commission, production agency, etc.), animal types (SPF animals, germ-free animals, etc.), use of vaccines, pest control agents, antifoulants and other drugs on received animals, availability of records of microbial monitoring, transport and receipt of animals)
2) Receiving animals
3) Receiving inspection (implementation of quantity check, sex check, body weight measurement and appearance check, presence or absence of records)
4) Quarantine, acclimatization (period of quarantine or acclimatization, items examined in microbial examination (protozoa, parasites, bacteria, etc.), implementation of clinical examination, qualification of personnel responsible for evaluating health condition, records concerning animal care (findings of microbial examination, body weight measurements, etc.))
5) Care methods
6) Use of vaccines, pest control agents, insecticides, antifoulants and other drugs on animals

(Example)

[Rats]

1 Information concerning received animals
- ・Producer of received animals: Production agency
- ・Type of received animals: SPF animals
- ・Use of drugs on received animals: Not used
- ・Microbial monitoring records: Available
- ・Records of transport of received animals: Not available
- ・Receipt records: Available

2 Receiving animals: Separate rooms are used for receipt, quarantine and housing

3 Receiving inspection
- ・Quantity check: Conducted
- ・Sex check: Conducted
- ・Body weight measurement: Conducted
- ・Appearance check: Conducted
- ・Records: Available

4 Quarantine, acclimatization
- ・Period of quarantine or acclimatization: ○○days
- ・Items examined in microbial examination: Parasites, bacteria, virus
- ・Clinical examination: Not conducted
- ・Qualification of personnel responsible for evaluating health condition: Personnel responsible for care of animals (veterinarian)
- ・Records concerning care of animals: Findings of general observation of symptoms, body weight measurements

5 Care methods: Barrier system

6 Use of drugs on animals: Not used

(2) Handling of diseases or conditions

If any, briefly describe the regulations concerning the handling of diseases or conditions.

Specify 1) to 5) for each case of disease or condition handled after the previous inspection (investigation) (or in the past if this is the first time to receive the inspection (investigation)).

1) Date of occurrence
2) Species and strain of the relevant animal
3) Type of study in which the relevant animal was used
4) Situation of occurrence
   (1) Observed in ○○ out of ○○ animals (or observed in ○○ out of ○○ monitored animals)
   (2) Observed on ○○ days after initiation of administration in a ○○-day administration study, or observed in monitored animals on ○○ days after initiation of administration
   (3) Circumstances of the detection of the disease (detected through monitor examination, general observation, etc.)
   (4) Conduct of any other study in the same housing room
   (5) Conduct of any other study in the same housing zone
5) Measures taken
   (1) Examination and treatment of the diseased animals
   (2) Checking of infection of other animals in the same housing room or zone
   (3) Continuation or withdrawal of the studies mentioned in 4) (4) or (5)
   Quality assurance of the studies continued
   (4) Recording the above matters in the raw data (rearing records, records of general condition examination, etc.), documentation, and filing of these matters
   (5) Notification of the above matters in the final report, in the case where the relevant study was continued

(Example)

In the case where any disease or condition is detected, record that state in a specified format and report the case to the Study Director. Following the instructions of the Study Director, isolate or destroy the animal in the isolation room.

If the animal is to be destroyed, euthanize the animal with approval of the Study Director, and document and file the case in a specified format.

(3) Management of feed, water, animal care instrument, detergents, and other related information

Briefly describe items 1) to 5) concerning the management of feed, water, animal care instrument, detergents, and other related information.

1) Acceptable levels of feed and water
   (whether acceptable levels are defined)
2) Feed
   (manufacturer, type of feed (for individual species), form of feed, site of analysis, storage condition of feed, presence or absence of records)
3) Water
   (availability of tap water specified in the Water Supply Law, availability of in-house pumping and water receiving tank, types of toxic metal removal apparatus, disinfection apparatus and sterilizer, implementation of microbial monitoring of watering bottles, replacement frequency of watering equipment such as watering bottles, etc., site of analysis, presence or absence of records)
4) Animal care equipment, instruments

(availability of facilities for washing, disinfecting, and sterilizing the equipment and instruments for animal care, storage method of care equipment and instruments)

5) Use of detergents or insecticides affecting the study after the previous inspection (or investigation)
(if used, presence or absence of instruction from the Study Director, purpose of use, type of detergent or insecticide used, range of use, method of use, the amount used, and presence or absence of records)

(Example)

1) Acceptable levels of feed and water
Defined in SOP ○○○○.

2) Feed
(rats, mice)

Manufacturer	Japan ○○ Co., Ltd.
Type of feed	CEA-2
Form of feed	Solid powder
・Site of analysis	Analysis results obtained from the manufacturer
・Storage condition of feed	Same as that for housing animals. Stored for 6 months after the date manufactured.
・Records	Available

3) Water

・Tap water specified in the Water Supply Law	Available
・In-house pumping	Not available
・Water receiving tank	Available
・Type of toxic metal removal apparatus	Not available
・Type of disinfection apparatus or sterilizer	5μm membrane filter
・Microbial monitoring of watering bottles	Not conducted
・Replacement frequency of watering equipment, e.g. watering, bottles, etc.	Every ○ months
・Site of analysis	Commissioned to ○○ Testing Laboratory
・Records	Available

4) Animal care equipment, instrument

・Care equipment and instrument	Washing facility, sterilization facility
・Storage method of equipment and instrument	Stored in instrument storage

5) Use of detergents or insecticides affecting the study
None

24 Master Schedule

Attach a copy of the master schedule for the month in which the document was prepared or the previous month.

25 Standard Operating Procedures (SOPs)

(1) SOPs and formats, and other related information specified in SOPs

Submit a copy each of SOPs concerning the following procedures, and formats specified in the SOPs.

1) Preparation of the study plan (including an example format)

2) Preparation of the final report (including an example format)

3) Conduct of the study, judgment of the results, measures taken when abnormal levels are observed

4) Storage of samples and materials

(2) Procedures for preparation, revision, disposal, and other related information of SOPs

(Example)

1. SOP preparation

   SOP is…, and approved (prepared) by the test facility management.

2. SOP revision

   Any personnel who considered that SOP needs to be revised....

3. SOP disposal

   Any personnel who considered that SOP is no longer necessary....

(3) List of titles in SOPs

* Prepare a list of the total number, the serial numbers (symbols) and titles of SOPs.

If any, describe the rules for assigning serial numbers (symbols) to SOPs.

(Example)

In accordance with the following comprehensive list, serial numbers are added to the end of the SOP numbers.

SOP comprehensive list

SOP/SOP/000	Standard Operating Procedures
SOP/QAU/000	Quality Assurance Unit (QAU)
SOP/REP/000	Final Report

・・・

List of titles

Standard Operating Procedures

SOP/SOP/001	Preparation of Standard Operating Procedures
SOP/SOP/002	Format of Standard Operating Procedures

Quality Assurance Unit (QAU)

SOP/QAU/001	Work content of Quality Assurance Unit (QAU)

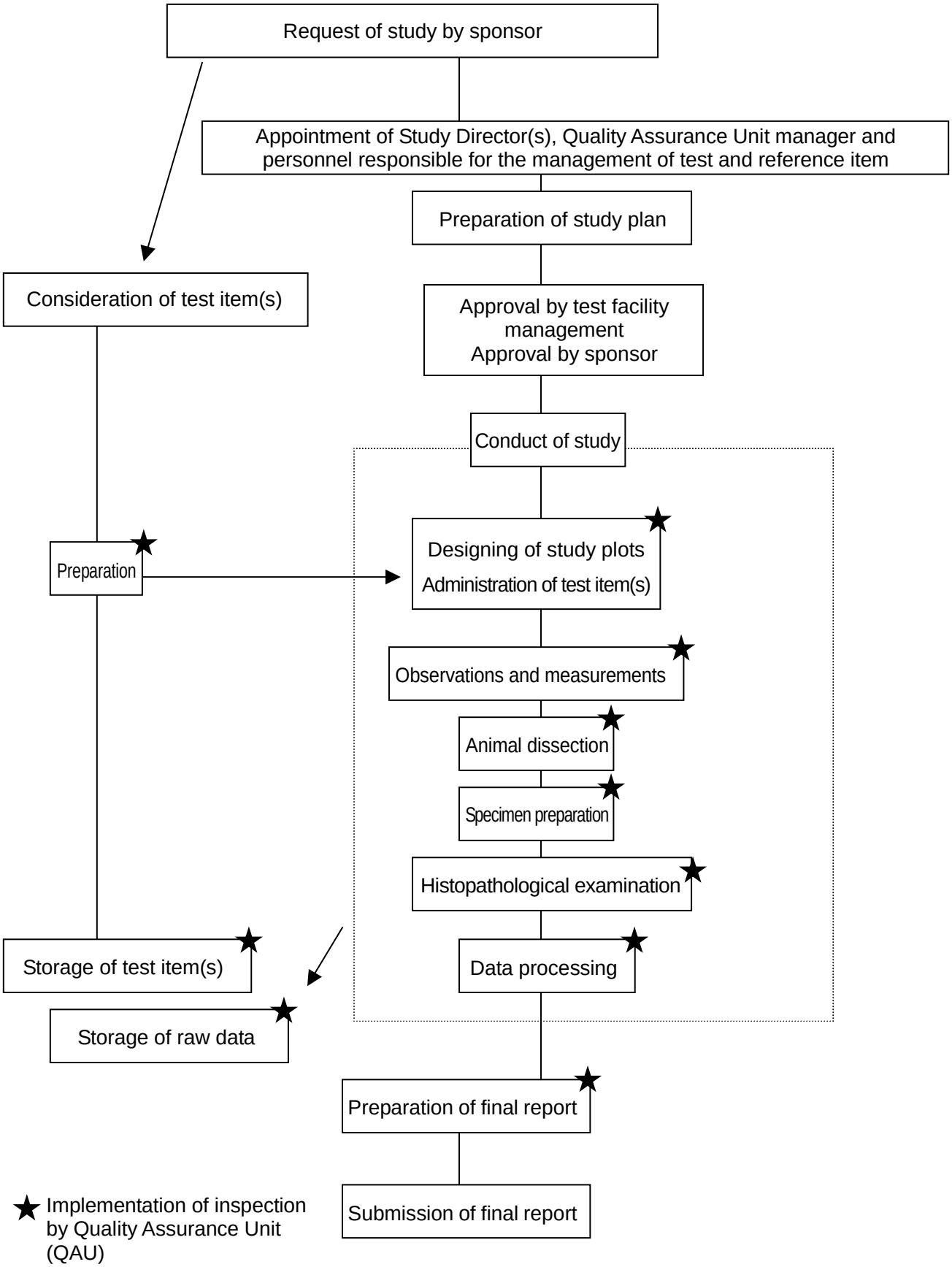
・・・

26 Flow Chart of Safety (Toxicity) Studies

Prepare a flow chart of the study, 1) to 8), etc., from the planning phase to the completion of the study.

1) Interaction with the sponsor
   (1) Request of study from the sponsor
   (2) Approval of the study plan by the sponsor
   (3) Submission of the final report to the sponsor
2) Test facility management
   (1) Appointment of the Study Director and the Quality Assurance Unit manager
   (2) Preparation of SOPs
   (3) Approval or confirmation of the study plan
   (4) Submission of the final report by the Study Director
3) Quality Assurance Unit (QAU)
   (1) Appointment of Quality Assurance Unit personnel in charge of individual studies
   (2) Submission of improvement recommendation and investigation report to the test facility management
   (3) Submission of improvement recommendation and investigation report to the Study Director
4) Flow of the study
   (1) Preparation of the study plan
   (2) Signature by the Study Director
   (3) Approval or confirmation by the test facility management (including the sponsor), investigation by Quality Assurance Unit, etc.
5) Flow of the test item, reference item
   (1) Request of analysis
   (2) Conduct of analysis
   (3) Receipt of analysis records
   (4) Order placement, receipt, storage and return of the test and reference items
6) Final report
   (1) Signing by the Study Director
   (2) Investigation by Quality Assurance Unit
7) Flow of stored documents
8) Others

(Example) Flow chart of a safety (toxicity, etc.) study



27 Overview of Computerized System

In the case where computerized systems are used for processing study data, describe the purpose of their use (data collection, preparation of figures and tables attached to the final report, statistical calculation, etc.) and how they are used. In addition, provide the definition of raw data and the methods of modification and correction of the raw data.

Describe the use of computerized system by specifying the following items 1) to 5), regardless of the definition of the raw data.

1) Pattern of computer use

2) Name and developer of the system

3) For a commercial system partially modified after purchase, which part(s) were modified and how modified

4) System configuration

5) Method and frequency of system validation

(1) Parts of the study where the computer is used

Identify where the computer is used using the flow chart of the safety (toxicity, etc.) study.

(2) Hardware configuration

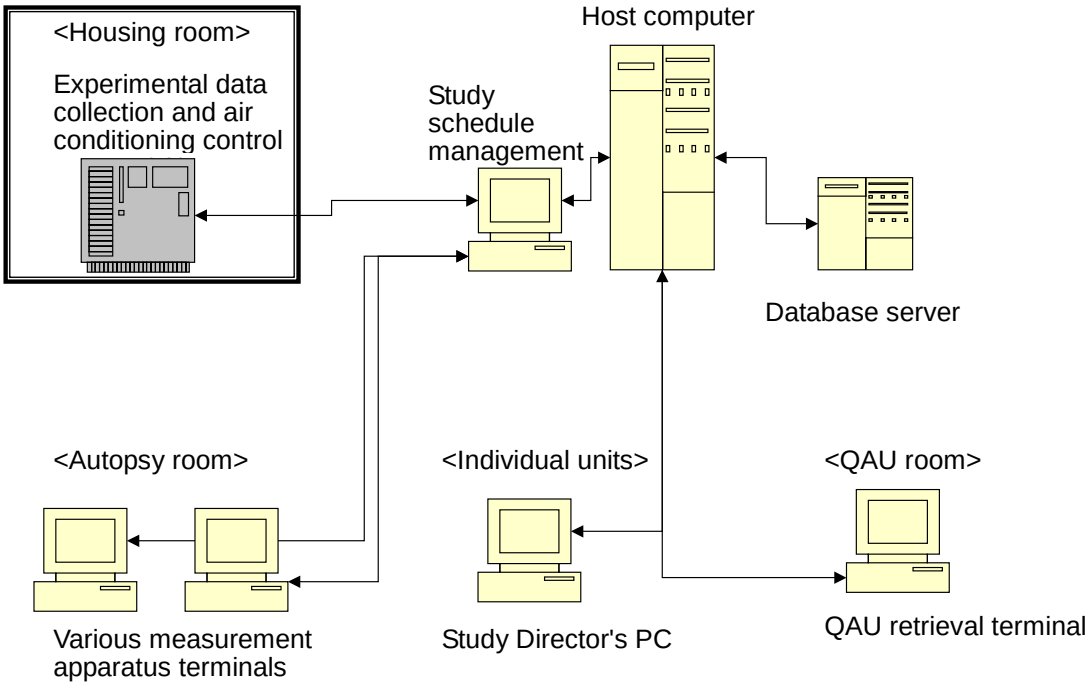
Identify the host computer, LAN, data collection terminals, connected device, etc.

(3) System configuration

Describe the system performance and the target study, examination, etc.

(Example)

1) On-line computer system



2) Stand-alone computer

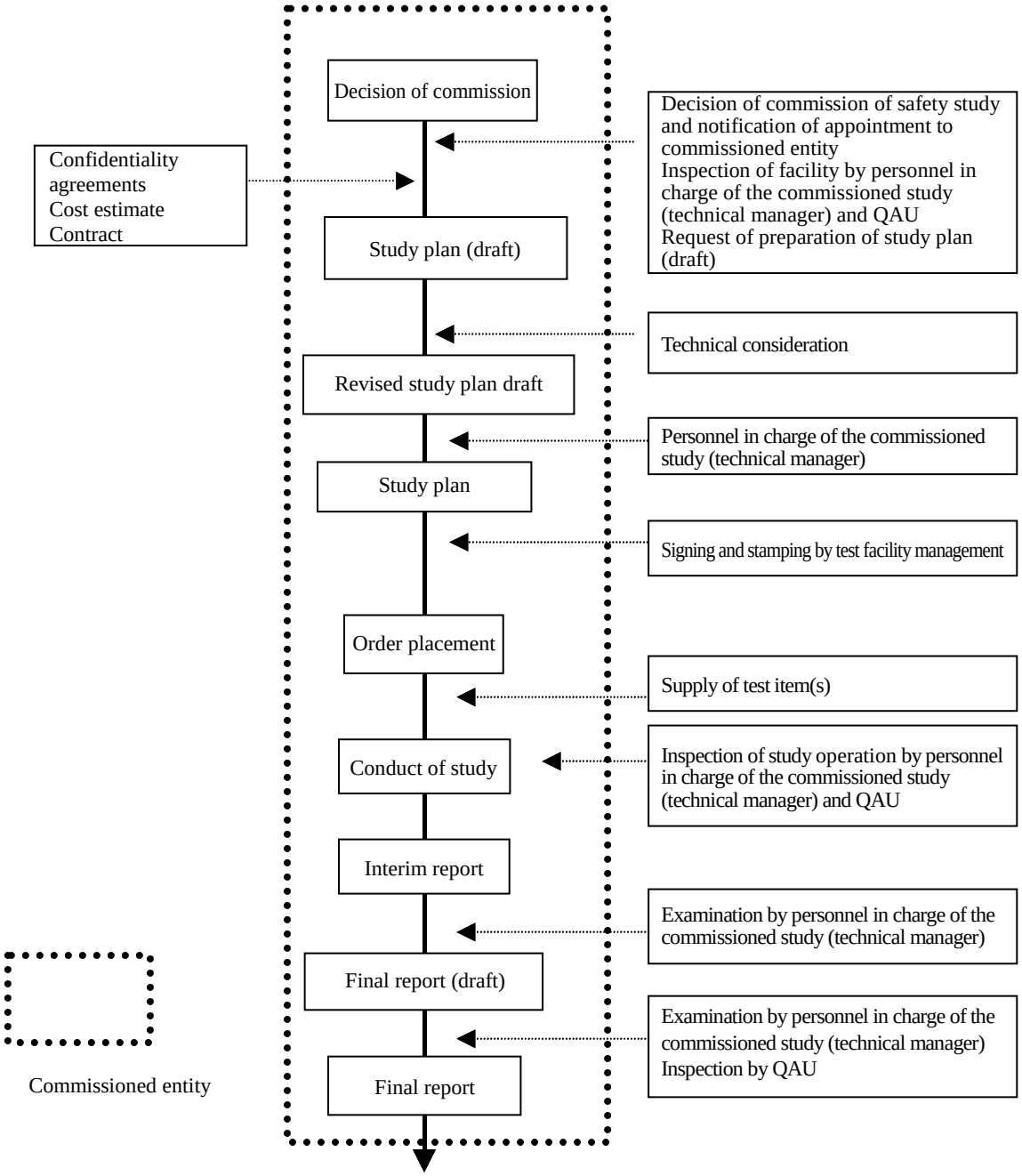
(1) ○○ measurement system: ××× manufactured by ○○. Used for weighing test animals for ○○ study. Installed in year○ in room ○○・・・・.

28 Status of Outsourcing of Studies

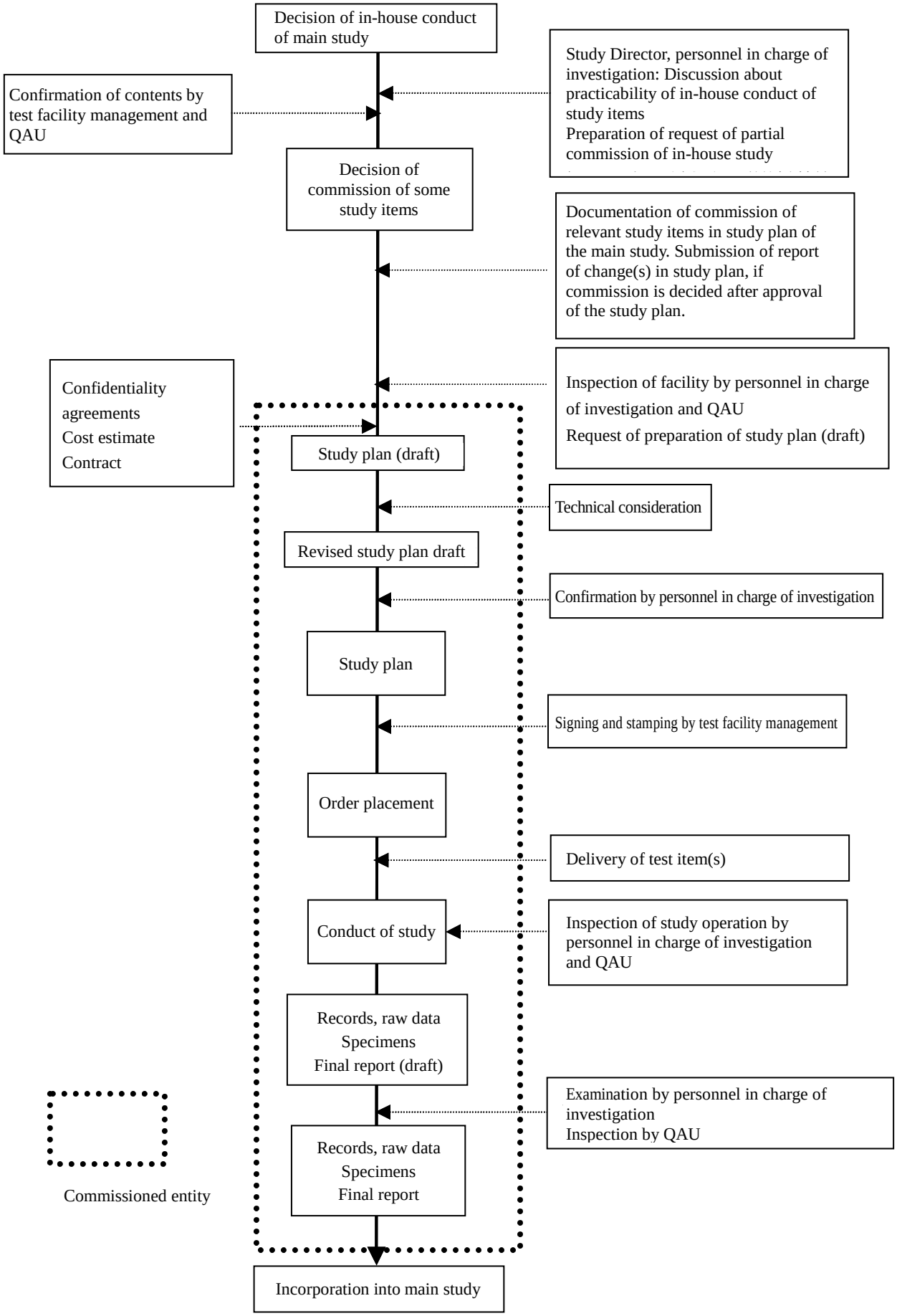
Provide a flow chart illustrating the procedures of commission (delivery of specimens, handling of test items, etc., QAU investigation, etc.). In the case where studies are commissioned to more than one entity, prepare a flow chart for a representative entity.

(Example)

1) Commission of the entire study



2) Commission of some of the study items



29 Multi-site Studies

Among the studies inspected (investigated) and the studies conducted over the last three years, for those conducted at more than one testing facility, specify the title of the study, name of the collaborating testing facility/facilities, content of the study, content of the sharing of study work and names and affiliations of test facility general management and general study director.

Write accordingly if test facility general management and general study director were not appointed.

(Example)

year○

Title of study	Collaborating testing facility/facilities	Content of study	Content of sharing of study work	Test facility general management (name, affiliation)	General study director (name, affiliation)

30 Problems Found in Past GLP Inspections (Investigations) and Status of Improvement

Write any problems found in the relevant GLP inspection (investigation) conducted in the past. Specify the status of improvement for each problem.