

FDA View: Technical Rejection Criteria for Study Data

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Disclaimer



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- Study Data Technical Rejection Criteria Conformance Statistics from Previous Analysis
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- **o** Updated Study Data Conformance Analysis
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FDA Guidance and Data Standards Catalog



- Per FD&C Act Section 745A(a), drug application sponsors must use the standards defined in the FDA Data Standards Catalog starting 24 months after final guidance for a specific submission type.
- FDA issued "Providing Regulatory Submissions in Electronic Format - Standardized Study Data: Guidance for Industry" in December 2014.
- Sponsors must conform to standards in the FDA Data Standards Catalog:
 - □ NDA, BLA, ANDA studies that started after December 17th, 2016
 - Commercial IND studies started after December 17th, 2017



Study Data Technical Rejection Criteria Conformance Statistics from Previous Analysis

Study Data Conformance from Previous Analysis

Study Data was assessed for:

- □ NDA, BLA, and ANDA Submissions received from 12/18/2016 to 3/31/2018
- □ Commercial IND Submissions received from 12/18/2017 to 3/31/2018
- No duplicates
- Conformance was checked against the existing two high-level validation rules as described in the Technical Rejection Criteria for Study Data
 - □ 1734 TS Dataset & Correct Study Start Date must be present
 - □ 1736 DM Dataset, ADSL Dataset and define.xml must be present

Overall Conformance Statistics from Previous Analysis



Error	Description
1734	Trial Summary (TS) dataset must be present for each study in eCTD section 4.2 and 5.3
1736	Demographic dataset (DM) and the define.xml must be submitted in Module 4 for nonclinical data; DM dataset, the subject-level analysis dataset (ADSL) and define.xml must be submitted in Module 5 for clinical data

	NDA	ANDA	BLA	Comm. IND	All
Total Number of Submissions with Study Data	1,126	1,446	473	176	3,221
Total Number Submissions with Critical Errors	302	551	138	41	1,032
Error 1734	290	506	137	35	968
Error 1736	14	63	1	6	84
Failure Rate (% among submissions with Study Data)	26.8%	38.1%	29.2%	23.3%	32.0%

Notes:

- (1) One drug application could contain multiple submissions throughout its review life-cycle, such as original, supplements, and amendments
- (2) Analysis includes NDA, BLA, and ANDA submissions received by CDER between 12/18/2016 and 3/31/2018, and commercial IND submissions received by CDER between 12/18/2017 and 3/31/2018
- (3) Validation of error 1736 of a study is not performed if a study has Error 1734
- (4) A submission with multiple studies can report both Errors 1734 and 1736. In this instance, the submission is counted only once at the submission level when calculating failure rate

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Reference: FDA Study Data Technical Rejection Criteria (Revised May 2018)



Revised Study Data Technical Rejection Criteria

CY2018 Conformance Analysis for Validation Errors 1734 & 1736

Error	Description
1734	Trial Summary (TS) dataset (ts.xpt) with information on study start date must be present for required sections*
1736	For SEND data, a DM dataset and define xml must be submitted in required sections* For SDTM data, a DM dataset and define.xml must be submitted in required sections* For ADaM data, an ADSL dataset and define.xml must be submitted in required sections*

* Refer to the latest Technical Rejection Criteria for Study Data

	NDA	ANDA	BLA	Comm. IND	All
Total Number of Submissions with Study Data	877	1078	291	649	2895
Total Number Submissions with Critical Errors	195	266	50	113	624
Error 1734	185	186	48	96	515
Error 1736	16	88	2	18	124
Failure Rate (% among submissions with Study Data)	22.2%	24.7%	17.2%	17.4%	21.6%

Notes:

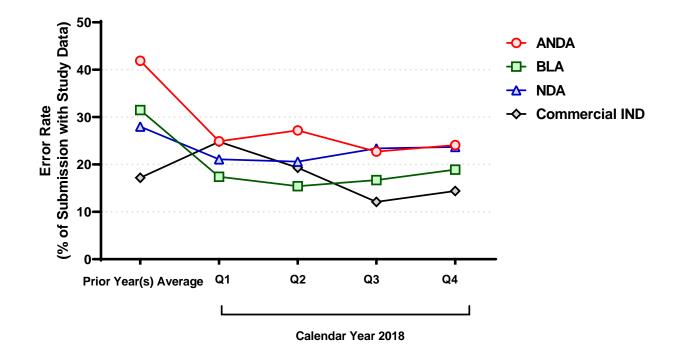
- Analysis includes NDA, BLA, ANDA and Commercial IND submissions received by CDER between 1/1/2018 and 12/31/2018
- (2) Validation of error 1736 is not performed if a study has Error 1734
- (3) A submission with multiple studies can report both Errors 1734 and 1736. In this instance, the submission is counted only once at the submission level when calculating failure rate
- (4) Analysis is conducted according to the revised TRC (Revised Jan. 2019)

Reference: FDA Study Data Technical Rejection Criteria (Revised Jan. 2019)

Overall Conformance Trend for Validation Errors 1734 & 1736



Submissions with study data received during CY2018 showed overall decreases in Validation Errors 1734 and 1736 compared to prior years' average error rate



Notes:

- (1) Prior year(s) average uses data from the previous analysis, but excludes any submissions received in 2018
- (2) CY2018 analysis is conducted according to the revised TRC (Revised Jan. 2019)

Summary of 1734 and 1736 Conformance Trend



- The failure rate for Errors 1734 and 1736 for all application types received in CY2018 is 21.6%
- Overall conformance for Errors 1734 and 1736 improved compared to the previous analysis (previous years' average of 68.0% vs. CY2018's average of 78.4%)
- FDA has identified the need to provide additional clarifications on TRC to help Industry meet study data requirements and continue to improve the conformance trend over time
 - Revision to TRC
 - Details on 1734 and 1736
 - Emphasis on Error 1735
 - Inclusion of Error 1789
 - Inclusion of Table 1 eCTD Technical Rejection Criteria for Study Data Expectation
 - Inclusion of Appendix 1 Examples of Validation Findings in Study Data
 - Inclusion of Appendix 2 Examples of ts.xpt datasets
 - ✤ Additional Tools: Self-Check Worksheet and Instructions for Study Data

Summary of Latest Revisions to the Technical Rejection Criteria for Study Data (Revised Jan. 2019)

Error	Description (Reference to FDA Study Data Technical Rejection Criteria May 2018 version)	Severity Level
1734	Trial Summary (TS) dataset must be present for each study in eCTD section 4.2 and 5.3	High
1736	Demographic dataset (DM) and the define.xml must be submitted in Module 4 for nonclinical data; DM dataset, the subject-level analysis dataset (ADSL) and define.xml must be submitted in Module 5 for clinical data	High
Error	Description (Reference to FDA Study Data Technical Rejection Criteria Jan. 2019 version)	Severity Level
1734	Trial Summary (TS) dataset (ts.xpt) with information <mark>on study start date</mark> must be present for required sections*	High
<mark>1735</mark>	Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections*	High
1736	For SEND data, a DM dataset and define xml must be submitted in required sections* For SDTM data, a DM dataset and define.xml must be submitted in required sections* For ADaM data, an ADSL dataset and define.xml must be submitted in required sections*	High
<mark>1789**</mark>	STF Files must be submitted in a study section. STF s are not required for required sections*	High

* Refer to the latest Technical Rejection Criteria for Study Data

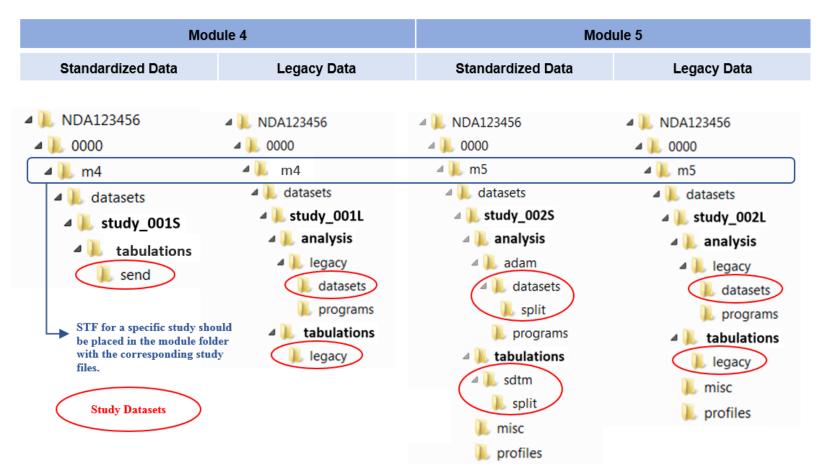
** From Providing Regulatory Submissions in Electronic Format – Certain Human Pharmaceutical Product Applications and Related Submissions Using the eCTD Specification, Section J: Datasets must only be provided in modules 3, 4, or 5 and not in modules 1 or 2

Reference:

FDA Study Data Technical Rejection Criteria (Revised May 2018) FDA Study Data Technical Rejection Criteria (Revised Jan. 2019)

Folder Structure for Module 4 and Module 5

- FDA
- STF files and their associated datasets should be organized into a specific file directory structure and a specific headings and hierarchy structure



References:

FDA Study Data Technical Conformance Guide (Appendix E; Version 4.2, October 2018) ICH M2 EWG: The eCTD Backbone File Specification for Study Tagging Files

Additional Details for Error 1734

Full ts.xpt

Sponsors should submit a dataset named 'ts.xpt' following published CDISC Standard and FDA Study Data Technical Conformance Guide

Simplified ts.xpt

Sponsors should submit a dataset named 'ts.xpt' with four variables: STUDYID, TSPARMCD, TSVAL, AND TSVALNF)

Example of ts.xpt Datasets

STUDYID	TSPARMCD	TSVAL	TSVALNF
•Study ID in STF File	 SSTDTC for a clinical study STSTDTC for a nonclinical study 	 Format: yyyy-mm-dd Left blank when study start date is not available 	 Left blank when study start date is provided in TSVAL Exception code as specified in the ISO 21090 Standard when study start date is not available

References:

FDA Study Data Technical Conformance Guide (Appendices F & G; Version 4.2, October 2018) FDA Study Data Technical Rejection Criteria (Revised Jan. 2019)



Study Data Requirements for Submissions



Study Start Application Type		Data Tuna	Study Sections	Expectation	by Center
Date	Application Type	Data Type	Study Sections	CDER	CBER
Prior to or on 17-Dec-2017	Commercial INDs	Nonclinical	4.2.3.1, 4.2.3.2, 4.2.3.4	Rejection criteria will be applied; submit a simplified TS whether or not the study contains an xpt dataset (other than the ts.xpt)	Rejection criteria will not be applied
		Clinical	5.3.1.1, 5.3.1.2, 5.3.3.1z, 5.3.3.2, 5.3.3.3, 5.3.3.4, 5.3.4, 5.3.5.1, 5.3.5.2	Rejection criteria w	ill not be applied
After 17-Dec-2017	ter Commercial INDs		4.2.3.1, 4.2.3.2, 4.2.3.4	Rejection cr iteria will be applied; submit a full TS	Rejection criteria will not be applied
		Clinical	5.3.1.1, 5.3.1.2, 5.3.3.1, 5.3.3.2, 5.3.3.3, 5.3.3.4, 5.3.4, 5.3.4, 5.3.5.1, 5.3.5.2	Rejection criteria will not be applied	
Prior to or on 17-Dec-2016	NDA. BLA. ANDA		4.2.3.1, 4.2.3.2, 4.2.3.4	Rejection criteria will be applied; submit a simplified TS whether or not the study contains an xpt dataset (other than the ts.xpt)	Rejection criteria will not be applied
		Clinical	5.3.1.1, 5.3.1.2, 5.3.3.1, 5.3.3.2, 5.3.3.3, 5.3.3.4, 5.3.4, 5.3.4, 5.3.5.1, 5.3.5.2	Rejection criteria will be applied study contains an xpt datase	
After	fter NDA PLA ANDA		4.2.3.1, 4.2.3.2, 4.2.3.4	Rejection criteria will be applied; subnit a full TS	Rejection criteria will not be applied
17-Dec-2016	NDA, BLA, ANDA	Clinical	5.3.1.1, 5.3.1.2, 5.3.3.1, 5.3.3.2, 5.3.3.3, 5.3.3.4, 5.3.4, 5.3.5.1, 5.3.5.2	Rejection criteria will be a	pplied; submit a full TS

Reference: FDA Study Data Technical Rejection Criteria (Revised Jan. 2019)

Emphasis on Errors 1735 and Inclusion of 1789



- Each submission typically contains many studies, an STF file is necessary to process study files into their corresponding studies; Accepting a submission where CDER cannot process the study tagging file will result in the reviewer seeing a list of files for which they do no not know the study they belong to
- If a study data file (e.g. define.xml) is not properly tagged in the STF file, it cannot be identified and located, resulting in Error 1736 being reported

Error	Description	Severity Level
1789	STF Files must be submitted in a study section. STF s are not required for required sections*	High
1735	Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections*	High

* Refer to the latest Technical Rejection Criteria for Study Data



Updated Study Data Conformance Analysis

Study Data Conformance Analysis



- One drug application could contain multiple submissions throughout its review lifecycle, such as original, supplements, and amendments
- Each submission may contain more than one study
- Analysis includes submissions received by CDER between 1/1/2018 and 12/31/2018
- Validation of errors 1735 and 1736 is not performed if a study has Error 1734
- Analysis is conducted according to the revised TRC (Revised Jan. 2019)



Error	Description	Severity Level
1789	STF Files must be submitted in a study section. STF s are not required for required sections*	High

* Refer to the latest Technical Rejection Criteria for Study Data

	IND	NDA	BLA	ANDA
Total Number of Submission	79473	41077	11042	62695
Error 1789	193	43	1	225
Failure Rate (% among Total Number of Submission)	0.24%	0.10%	<0.01%	0.36%

CY2018 Conformance Analysis of IND, NDA, BLA and ANDA Submission Studies: Errors 1734, 1735 & 1736



Error	Description
1734	Trial Summary (TS) dataset (ts.xpt) with information on study start date must be present for required sections*
1735	Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections*
1736	For SEND data, a DM dataset and define xml must be submitted in required sections* For SDTM data, a DM dataset and define.xml must be submitted in required sections* For ADaM data, an ADSL dataset and define.xml must be submitted in required sections*

* Refer to the latest Technical Rejection Criteria for Study Data

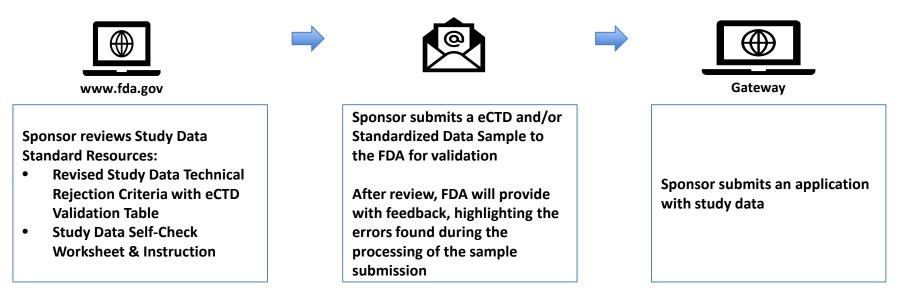
	IND		NDA		BLA		ANDA	
	Nonclin (m4)	Clin (m5)	Nonclin (m4)	Clin (m5)	Nonclin (m4)	Clin (m5)	Nonclin (m4)	Clin (m5)
Total Number of Studies	883	288	403	1810	12	206	N/A	1004
Total Number Studies with Critical Errors	105	98	38	390	3	51	N/A	673
Error 1734	65	85	33	321	2	46	N/A	186
Error 1735	36	2	6	53	0	5	N/A	497
Error 1736	11	13	1	35	1	1	N/A	88
Error Rate (% among Total Number of Studies)	11.9%	34.0%	9.7%	21.6%	25.0%	24.8%	N/A	67.0%



New Tools for Industry

Tools for Industry

FDA has developed tools to help sponsors meet updated study data standard requirements and provide more transparency on the validation process



1. Revised Study Data Technical Rejection Criteria (Revised Jan. 2019)

Purpose: To clarify the requirements for eCTD Validation of submissions with study data and to provided examples (**Appendix 1 and 2**) to illustrate the requirements

2. TRC Self-Check Worksheet & Instruction

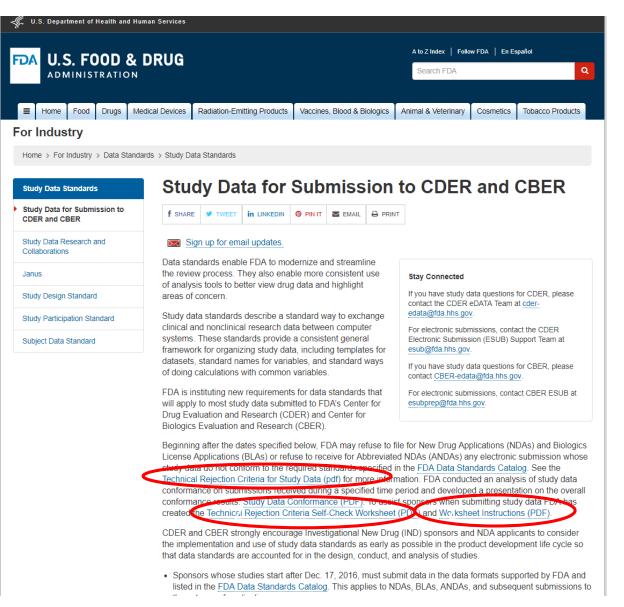
Purpose: To help sponsors understand criteria for submissions with study data to pass the updated TRC

3. eCTD and/or Standardized Data Sample Validation

Purpose: To help sponsors validate their sample submissions and receive feedback with identified errors



Published Technical Rejection Criteria for Study Data & Self-Check Worksheet



"Technical Rejection Criteria for Study Data"

https://www.fda.gov/downloads/forindustr y/datastandards/studydatastandards/ucm6 30740.pdf"

"Technical Rejection Criteria Self-Check Worksheet"

https://www.fda.gov/downloads/ForIndustr y/DataStandards/StudyDataStandards/UCM 630732.pdf

"Technical Rejection Criteria Self-Check Worksheet Instructions"

https://www.fda.gov/downloads/ForIndustr y/DataStandards/StudyDataStandards/UCM 630733.pdf

Selected Examples of Validation Findings in Study Data

- FDA
- 1. A study prior to December 17, 2016 for NDAs, BLAs, and ANDAs (or December 17, 2017 for Commercial INDs), is submitted to FDA and the study files are referenced in a Study Tagging File (STF), a ts.xpt dataset is not included in the study. The Study Data Start Date cannot be determined, the study fails validation 1734.
- 2. A study in standardized format is submitted to FDA and the study files are referenced in a Study Tagging File (STF). The ADaM study in Module 5 contains a define.xml file and a adsl.xpt file and they are appropriately file tagged. The study passes validation 1736.

Overview of the Self-Check Worksheet



- Designed to walk sponsors through each step of TRC validation process
- Dynamically guides sponsors through study data requirements based on study information entered
- Designed to help the sponsors when they prepare study data to submit to the FDA for the first time

Reference: "Technical Rejection Criteria Self-Check Worksheet" https://www.fda.gov/downloads/ForIndustry/DataStandard s/StudyDataStandards/UCM630732.pdf "Technical Rejection Criteria Self-Check Worksheet Instructions" https://www.fda.gov/downloads/ForIndustry/DataStandard s/StudyDataStandards/UCM630733.pdf

		Self	-Check Worksheet	for Study Do	ata Prepara	tion		
	Note: This Self-Check Worksheet is designed for newly submitted Study Data. *Required field							
	Section 1: Application & Submission Information	1a. FDA Center*:		CBER				
		1b. Application Type*:	NDA		ANDA 🗌	Commercial IND		
		1c. Application Number:		1d. eCTD Sequ	ence Number:			
		1e. eCTD Submission Type:		1f. eCTD Subm	ission Sub Type:			
		e: Repeat Sections 2 through 5 for each study. uired field						
-	Section 2: Study Information	2a. Study ID*:						
	n 3: STF File Information	3a. Are Files Included in a Stuc Applicable to Sections 4.3, 5.2 If you answered "No" in Field 3	2, 5.3.6, and 5.4)*	Yes No	n. excludina sec	tions 4.3, 5.2, 5.3.6, and 5.4, then		
		If you answered "No" in Field 3a, and no files are included in a study section, excluding sections 4.3, 5.2, 5.3.6, and 5.4, then Validation Rules 1734, 1735, 1736, and 1789 do not apply. Do not proceed.						
		3b. Is STF File Included?*		Yes No		ferenced Validation Error		
		3c. Does STF File Reference all	Associated Study Files?*	Yes No	Nu	imber 1789		
		If you answered "No" in Fields 3b or 3c, Validation Rule 1789 FAILS. Do not proceed.						
	tion	3d. Study ID in STE File*:						

Sections of the Study Data Self-Check Worksheet



Section	Contents	Example(s)		
1	 Application & Submission Information Provides high level information about the application and submission 	1a. FDA Center*: CDER	CBER	
2	 Study Information Provides more detailed information about the specific study 	2a. Study ID*: 2f. Study Dataset Type(s)*: Tabulation	Analysis	
3	STF File Information(1789 Validation Error)Provide information about STF file	3b. Is STF File Included?* 3c. Does STF File Reference all Associated Study Files?*	Yes No Yes No	
4	 TS File Information (1734 Validation Error) Provide information about ts.xpt file with study start date 	4c. Study ID in TS File*: 4d. Does Study ID in STF & TS Files Match?*	Yes No	
5	 Standardized Dataset Information (1735 & 1736 Validation Error) Provide information about SEND or STDM and/or ADaM dataset and define.xml Provide information about STF File-tags 	5f. Is DM File Included?* 5g. Is Define File Included?*	Yes No Yes No	
Note: Sect	ions 2 through 5 are repeated for each study			

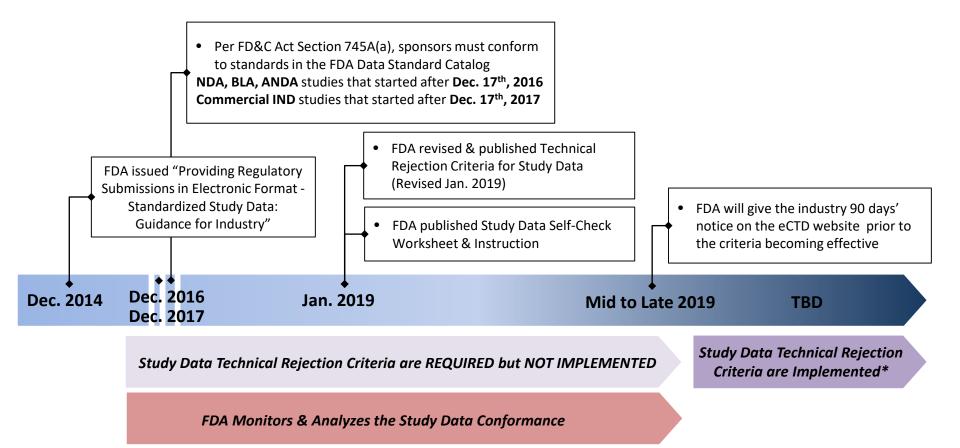
Sections 2 through 5 are repeated for each study.

Reference: "Technical Rejection Criteria Self-Check Worksheet" https://www.fda.gov/downloads/ForIndustry/DataStandards/StudyDataStandards/UCM630732.pdf "Technical Rejection Criteria Self-Check Worksheet Instructions" https://www.fda.gov/downloads/ForIndustry/DataStandards/StudyDataStandards/UCM630733.pdf

Implementation Timeline



FDA published Revised Study Data Technical Rejection Criteria (Revised Jan. 2019) and Study Data Self-Check Worksheet to assist sponsors with the TRC Conformance

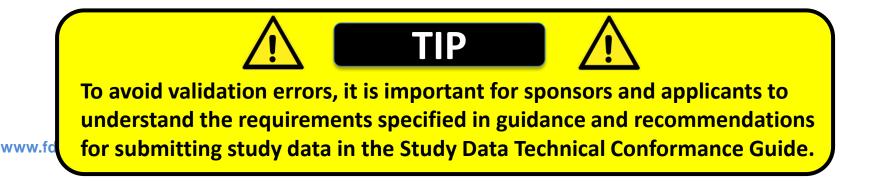


* Note: When a submission is technically-rejected, the submission sequence is not transferred into the FDA electronic document rooms www.fda.gov

Summary



- Based on the revised TRC, about 21.6% all submissions were received with non-critical errors for 1734 and 1736.
- FDA published Study Data Self-Check Worksheet to help sponsors to follow the revised TRC
- FDA requires the submission of standardized Study Data as defined in the FDA Data Standard Catalog.
- FDA has not rejected any submission that contains errors as reflected in this analysis.
- FDA plans to use technical rejection criteria to identify applications that are not fulfilling this requirement.



References



Providing Regulatory Submissions In Electronic Format - Standardized Study Data: Guidance For Industry"

HTTPS://WWW.FDA.GOV/DOWNLOADS/DRUGS/GUIDANCECOMPLIANCEREGULATORYINFORMATION/GUID ANCES/UCM292334.PDF

Providing Regulatory Submissions In Electronic Format - Submissions Under Section 745a(a) Of The FD&C Act: Guidance For Industry"

HTTPS://WWW.FDA.GOV/DOWNLOADS/DRUGS/GUIDANCECOMPLIANCEREGULATORYINFORMATION/GUID ANCES/UCM384686.PDF

- "Technical Rejection Criteria For Study Data" <u>HTTPS://WWW.FDA.GOV/DOWNLOADS/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS/UCM630</u> <u>740.PDF</u>
- "Study Data Technical Conformance Guide" <u>HTTPS://WWW.FDA.GOV/DOWNLOADS/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS/UCM624</u> 939.PDF
- * "FDA Data Standards Catalog" <u>HTTPS://WWW.FDA.GOV/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS/DEFAULT.HTM</u>
- "Technical Rejection Criteria Self-Check Worksheet" <u>HTTPS://WWW.FDA.GOV/DOWNLOADS/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS/UCM630</u> 732.PDF

"Technical Rejection Criteria Self-Check Worksheet Instructions" <u>HTTPS://WWW.FDA.GOV/DOWNLOADS/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS/UCM630</u> <u>733.PDF</u>

Recommended Readings:



- For FDA instruction of Study Data submission, see the FDA "Study Data for Submission to CDER and CBER" page at: <u>HTTPS://WWW.FDA.GOV/DRUGS/DEVELOPMENTAPPROVALPROCESS/FORMSSUBMISSIONREQ</u> <u>UIREMENTS/ELECTRONICSUBMISSIONS/UCM248635.HTM</u>
- For the full list of Study Data standards, see the FDA "Study Data Standards Resources" page at:

HTTP://WWW.FDA.GOV/FORINDUSTRY/DATASTANDARDS/STUDYDATASTANDARDS

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