ECTD v4.0 Implementation Update

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Learning Objectives

- Understand fundamental eCTD v4.0 concepts
- Discuss FDA eCTD v4.0 implementation strategy
- Prepare for eCTD v4.0

eCTD v4.0 Goals

Excerpt from ICH eCTD v4.0 Implementation Guide

- The goal of upgrading to eCTD v4.0 is to facilitate the processing and review of electronic regulatory submissions…..key business drivers:
  - Document Reuse – ability to submit a document once to a Regulatory Authority and refer to the document by its unique identifier in future submissions
  - Document and Metadata life cycle – ability to manage versions of documents and/or metadata
  - Management of Context Groups – ability to group documents together based on nature of their use (e.g., components of clinical study reports)

eCTD v4.0 Concepts

Harmonized Submission Unit and Document Reuse

- Harmonized submission unit
  - All content from Module 1 through Module 5 contained in one exchange message

eCTD v4.0	eCTD v.3.2.2
Submissionunit.xml (M1-M5 and study information)	Usregional.xml (M1) Index.xml (M2-M5) Stf.xml files (Studies)

- Document reuse
  - Once a document has been submitted, the document may be reused by referencing its unique identifier (ID) from the same or different submission unit (sequence).
  - Allows reuse of meta-data (e.g., document title, location)

Context of Use (COU)

- Placement of a document within a TOC* heading/section
- Provides information regarding the usage of a document and its life cycle (e.g., content may be replaced)
- **Keyword** gives additional information to the **CoU**
  - Keywords replace the eCTD v3.2.2 attributes and valid values
- Example:

COU X	**3.2.S.2 Manufacture** (**name 1, manufacturer 1**)

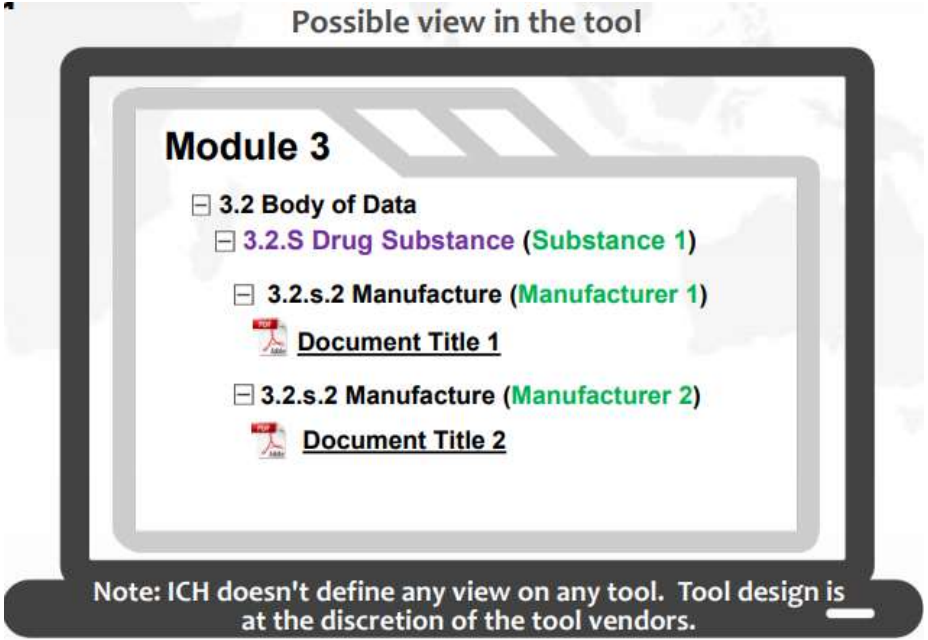
*TOC = Table of Contents

COU and Keyword Combinations (Context Group)

The combination of **CoU** and **keyword(s)** defines the context of the submission contents. If any one of them is different, the context is considered different.

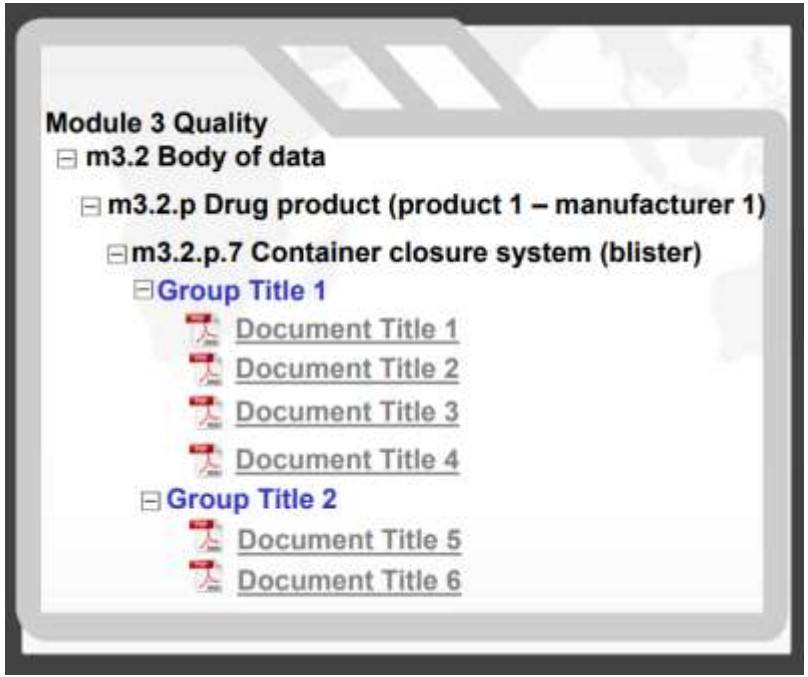
COU X
3.2.S.2 Manufacture
Substance 1 manufacturer 1

COU Y
3.2.S.2 Manufacture
Substance 1 manufacturer 2



Group Title

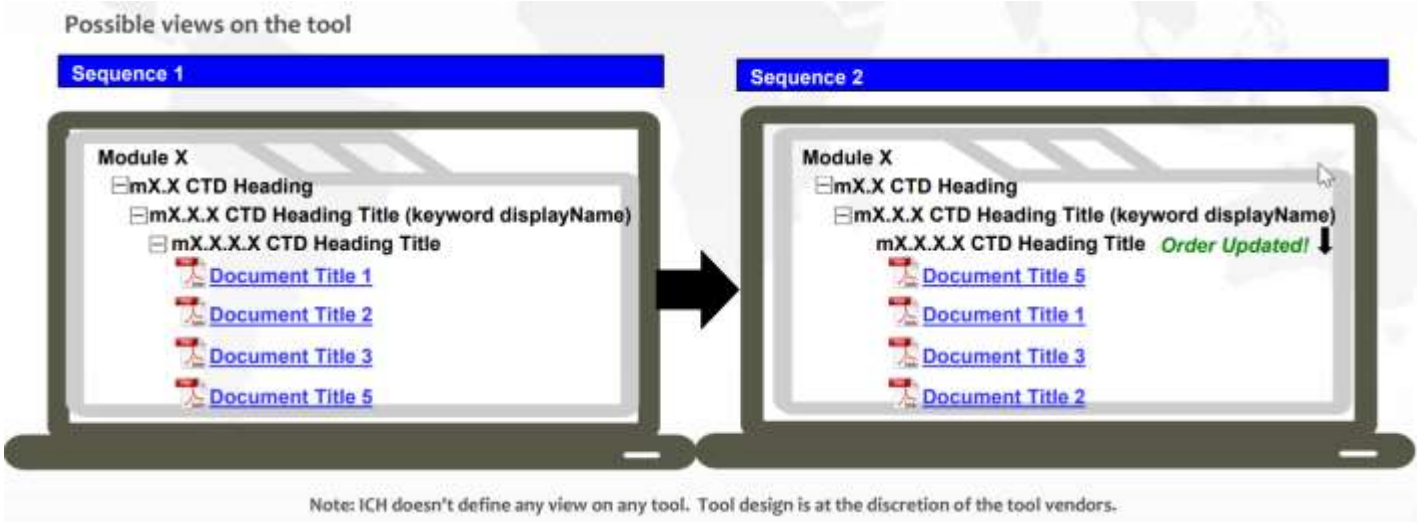
- Uses Group Title Keyword
- Applied to lowest level of Context of Use or Context Group to further organize content under a CTD heading when multiple documents are allowed
- The sender assigns the group title to specify how the content should appear together



Priority Number

Sets the order of documents within a CTD section

- Explicitly defines display order of documents under a Context of Use (CoU) or Context Group
- Sender may reorder submission content or insert submission content into a specific order within the existing content over time



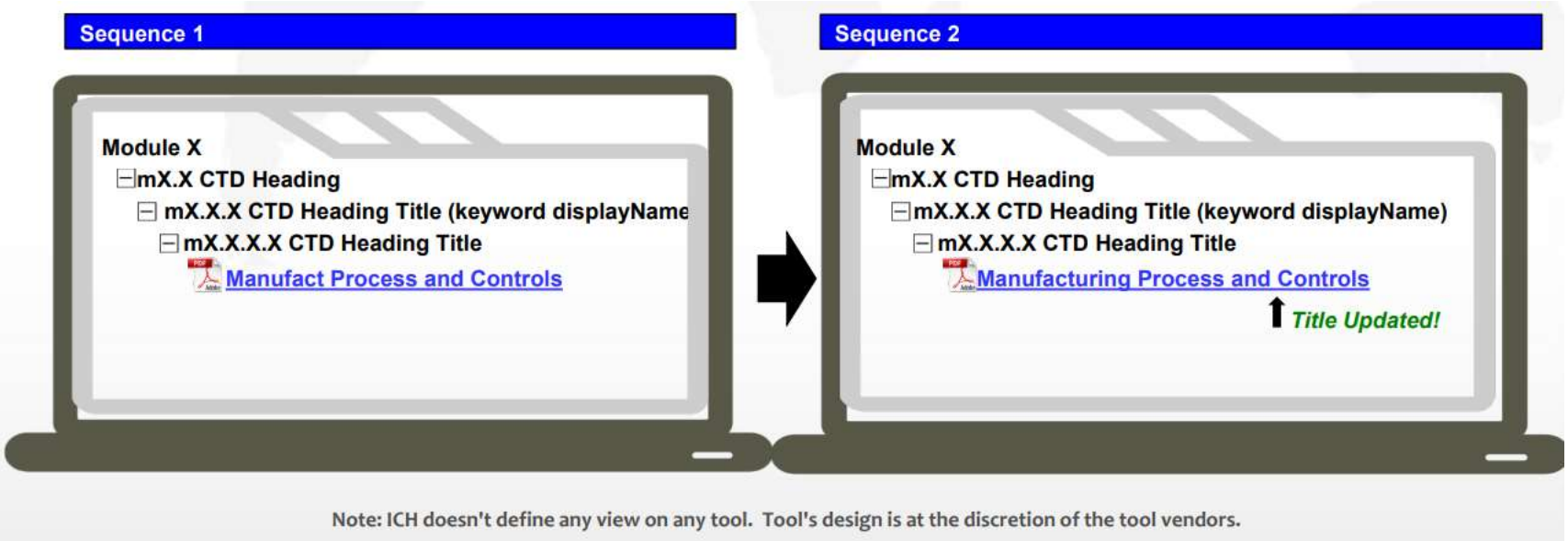
Document Identifier

Every document assigned a unique identifier

- Unique identifier approach means documents can be referenced/reused more effectively without resubmitting the physical file
  - Across a Submission Unit (sequence)
  - Across regulatory activities with an application
  - Across different applications
- Used to reference the document in a context of use or context group
- Reuse document metadata (e.g., document title, location)

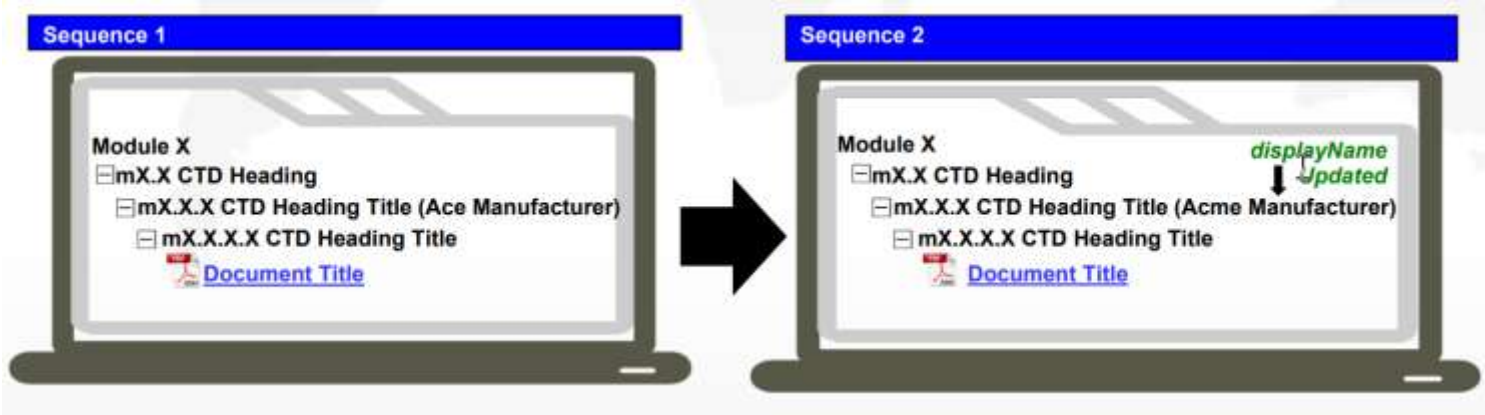
Update Document Information

- Update document title
  - e.g., fix typo



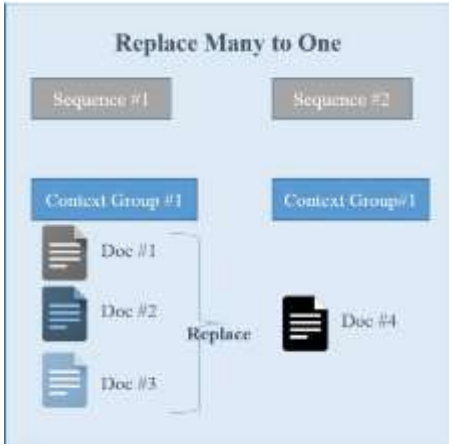
Update Display Name Values

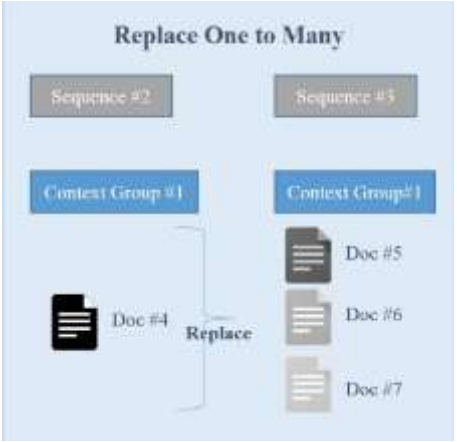
- Update display name values in eCTD headings without need to life cycle content



Document Life cycle

- Document Life cycle
  - Replace:
    - One to One
    - Many to One
    - One to Many





Challenge Question #1

An eCTD v4.0 sequence contains a harmonized submission unit message called submissionunit.xml

A. True

B. False

Challenge Question #2

eCTD v4.0 document life cycle functionality allows

A. One to one

B. One to many

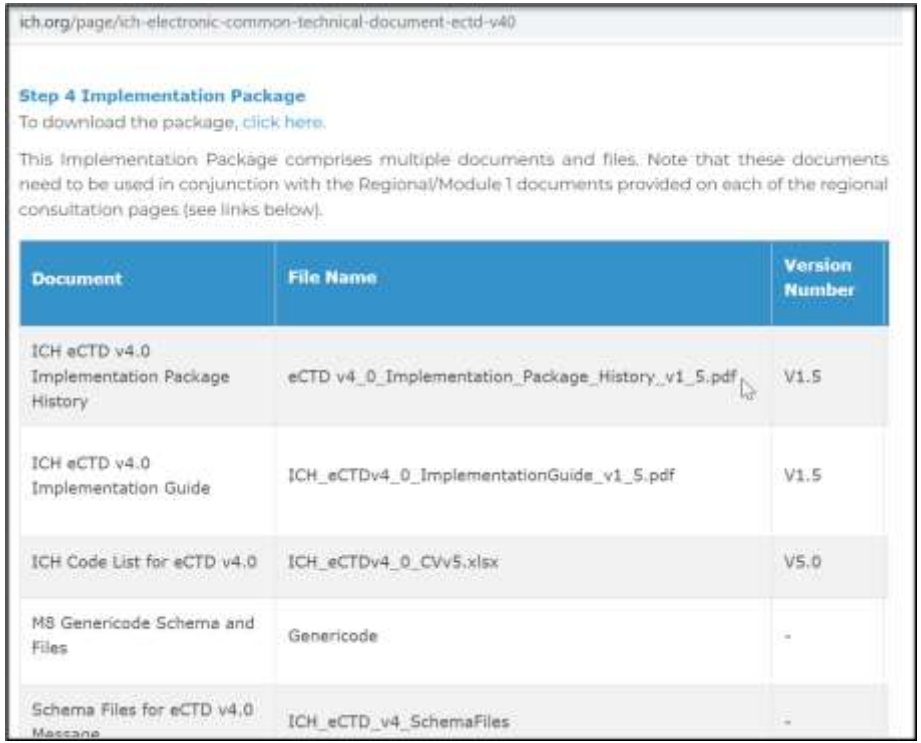
C. Many to one

D. All of the above

FDA eCTD v4.0 Implementation Strategy

ICH Activities

- ICH eCTD v4.0 Implementation Package
  - V1.5 May 2022
- Q&A Change Requests
  - V1.7 June 2022
- Regional Implementation Information posted on ICH eCTD v4.0 webpage
  - Regional planned Technical Pilots & Implementation Dates
  - Links to regional Implementation Documents



ich.org/page/ich-electronic-common-technical-document-ectd-v40

Step 4 Implementation Package

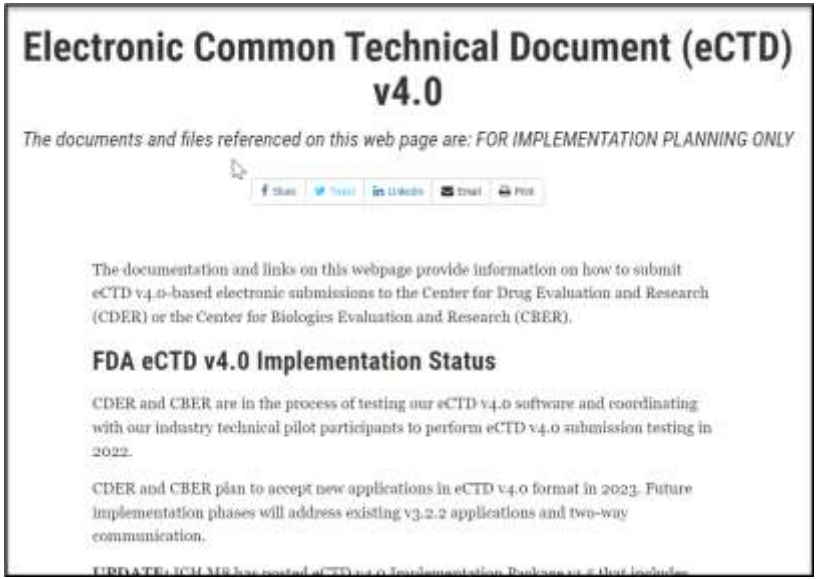
To download the package, click here.

This Implementation Package comprises multiple documents and files. Note that these documents need to be used in conjunction with the Regional/Module 1 documents provided on each of the regional consultation pages (see links below).

Document	File Name	Version Number
ICH eCTD v4.0 Implementation Package History	eCTD v4_0_Implementation_Package_History_v1_5.pdf	V1.5
ICH eCTD v4.0 Implementation Guide	ICH_eCTDv4_0_ImplementationGuide_v1_5.pdf	V1.5
ICH Code List for eCTD v4.0	ICH_eCTDv4_0_CVv5.xlsx	V5.0
M8 Genericode Schema and Files	Genericode	-
Schema Files for eCTD v4.0 Message	ICH_eCTD_v4_SchemaFiles	-

FDA Activities

- eCTD v4.0 Technical Conformance Guide and FDA eCTD v4.0 Module 1 Implementation Package
  - Posted February 2020 for public comment
  - Posted updates on September 2022
- Specifications for eCTD v4.0 Validation Criteria (October 2022)
- eCTD v4.0 Comprehensive Table of Contents Headings and Hierarchy (June 2021)
- Software updates and testing
  - Currently testing eCTD v4.0 vendor software
  - eCTD v4.0 Technical Pilot



Electronic Common Technical Document (eCTD) v4.0

The documents and files referenced on this web page are: FOR IMPLEMENTATION PLANNING ONLY

The documentation and links on this webpage provide information on how to submit eCTD v4.0-based electronic submissions to the Center for Drug Evaluation and Research (CDER) or the Center for Biologics Evaluation and Research (CBER).

FDA eCTD v4.0 Implementation Status

CDER and CBER are in the process of testing our eCTD v4.0 software and coordinating with our industry technical pilot participants to perform eCTD v4.0 submission testing in 2022.

CDER and CBER plan to accept new applications in eCTD v4.0 format in 2023. Future implementation phases will address existing v3.2.2 applications and two-way communication.

FDA Implementation Strategy

- Initial release/acceptance for new applications in eCTD v4.0
  - Technical Pilot (completed)
    - Small group
  - Accept sample submissions for technical feedback
    - Open to all (planned for late 2023)
  - Begin accepting new applications in eCTD v4.0 in 2024
- Future phases
  - Transition of current applications
  - Two-way communication

eCTD v4.0 Webpages

- ICH eCTD v4.0 Webpage (https://www.ich.org/page/ich-electronic-common-technical-document-ectd-v40)
  - ICH eCTD v4.0 Implementation Package
  - Supplemental Documents for eCTD v4.0 Implementation Package
  - Regional Implementation Information & Regional Links
  - Change Control (Process, Change Request & Questions)

- FDA eCTD v4.0 Webpage (https://www.fda.gov/drugs/electronic-regulatory-submission-and-review/electronic-common-technical-document-ectd-v40)
  - FDA eCTD v4.0 M1 Implementation Package
  - eCTD v4.0 Technical Conformance Guide, CTOC, Validations
  - Link to ICH eCTD v4.0 webpage

Prepare for eCTD v4.0

How to Prepare for eCTD v4.0

- Discuss eCTD v4.0 development plans with your vendor and/or IT organization
  - Understanding the specifications
  - Is there a plan for transitioning to eCTD v4.0?
  - Send questions to ICH or FDA
- Become familiar with eCTD v4.0 concepts and enhancements
  - ICH Supplemental Documents for eCTD v4.0
    - Support Documentation and Orientation Material for eCTD v4.0 Implementation Package
  - FDA eCTD v4.0 Technical Conformance Guide
- Know where to find the eCTD v4.0 information
- Submit an eCTD v4.0 sample submission for technical feedback
  - Information will be posted on the eCTD Sample Submission Process webpage later this year (https://www.fda.gov/drugs/electronic-regulatory-submission-and-review/submit-ectd-or-standardized-data-sample-fda)

Poll Question #1

My company plans to submit an eCTD v4.0 test submission in:

A. 2023

B. 2024

C. Already submitted

D. No plans at this time

Summary

- eCTD v4.0 builds upon the success of v3.2.2
  - Enhanced document replacement
  - Harmonized submission unit (backbone) file
  - Utilization of controlled vocabularies
  - Ability to rename documents and context groups
- eCTD v4.0 is ready to implement
  - Regulators are actively working on their regional implementations
- FDA has published regional specifications, completed pilot testing, and working toward acceptance of eCTD v4.0 submissions in 2024
- FDA eCTD website (www.fda.gov/ectd) contains all regional eCTD v4.0 specifications and links to ICH specifications

U.S. FOOD & DRUG ADMINISTRATION

Questions?

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