

# eCTD: More than a Document

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# Learning Objectives

- Understand where to find new information for eCTD submissions
- List the most common errors made when submitting in eCTD format
- Know resources available for common questions asked about eCTD submissions

# What's New?

- Submission Standards location
  - [New webpage](#) as of December 2022
- Addition of Structure-Data Files information
  - Section 3.3.3 of the Technical Conformance Guide (updated November 2022)

## Electronic Common Technical Document (eCTD)

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The eCTD is the standard format for submitting applications, amendments, supplements, and reports to FDA's Center for Drug Evaluation and Research (CDER) and Center for Biologics Evaluation and Research (CBER). Please refer to the [eCTD Guidance](#) for the complete details to meet the eCTD requirement.

### Important Dates

For the [FDA Data Standards Catalog](#), the electronic submission of standardized SEND datasets to CBER is required for NDA, BLA, ANDA, and Commercial IND. FDA plans to apply eCTD validation 1734, 1735, 1736, and 1737 when CBER submissions contain content under module 4 beginning March 16, 2023. Please see the [Federal Register: Electronic Submissions: Data Standards: Support for Standard for the Exchange of Nonclinical Data, the Study Data Technical Conformance](#)

### Quick Links

- [NDA to BLA eCTD Transition Instruction to Industry](#) (PDF - 99 KB)
- [eCTD Database \(Final Rev 2\)](#) (PDF - 14 KB)
- [eCTD Submission Standards for eCTD v3.2.1 and Revision 3a](#)
- [FDA Data Standards Catalog](#)
- [eCTD Technical Conformance Guide](#) (PDF - 301 KB)
- [Drug Master Files \(DMFs\)](#)
- [eCTD 4.0](#)

### Notices



# What's New?

- New 1738 error
  - Study ID should match between STF and ts.xpt files
  - Medium level
- 1737 check every m4 and m5 section where an STF is required
  - Does not include 4.3, 5.2, 5.4, and 5.3.6

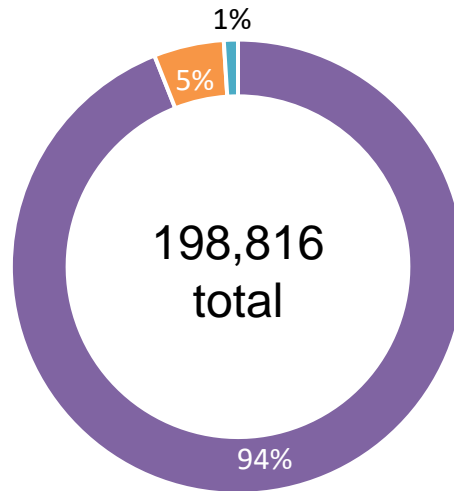
<b>Number:</b>	1738
<b>Group:</b>	General
<b>Description:</b>	STF Study ID should match STUDYID or SPREFID listed in the referenced Trial Summary (ts.xpt) file
<b>Severity Description:</b>	Medium
<b>US DTD Version</b>	3.3
<b>Effective Date:</b>	3/16/2023
<b>Problem:</b>	The STF Study ID does not match the STUDYID or SPREFID listed in the referenced ts.xpt file (not an exact match).
<b>Corrective Action:</b>	Ensure ts.xpt is referenced under the correct STF. If ts.xpt is under the correct STF, update the STUDYID or SPREFID in the ts.xpt and other referenced study data files. Modify your SOPs to ensure that a consistent Study ID (exact match) is used.
<b>Guidance Source:</b>	The eCTD Backbone File Specification for Study Tagging Files; Providing Regulatory Submissions in Electronic Format – Standardized Study Data; Study Data Technical Conformance Guide; General good practice to ensure reviewability.



# eCTD Submission Metrics

CDER Submissions October 1, 2022 through April 30, 2023

Percent of Submissions by Electronic Format

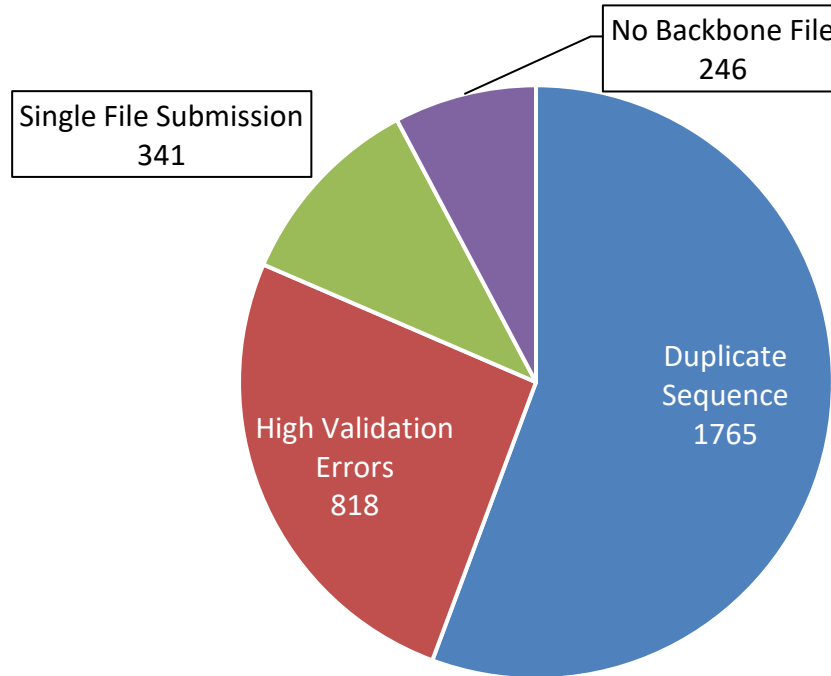


eCTD	94%
non eCTD	5%
PAPER	1%

■ eCTD ■ non eCTD ■ Paper

# Top Reasons for eCTD Rejection

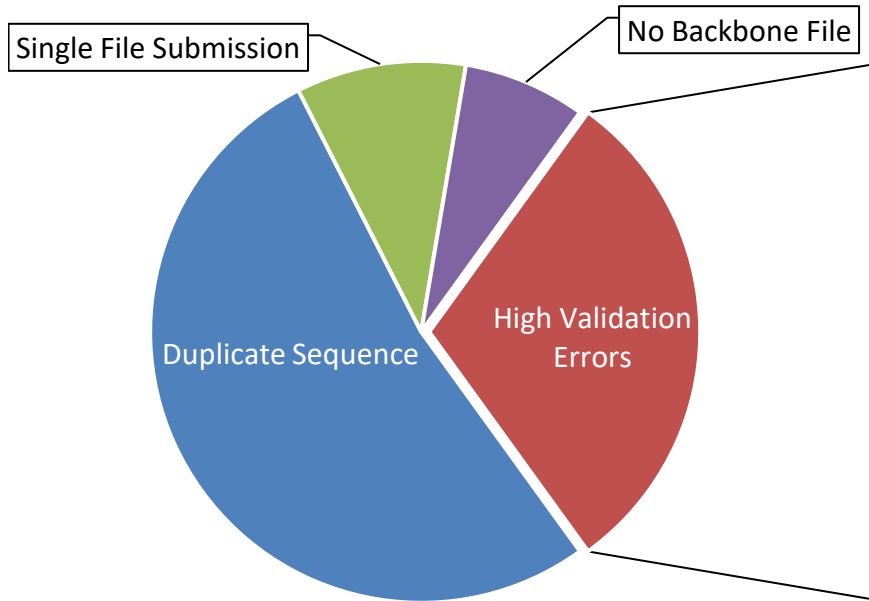
Approximately 1% of eCTD submissions are rejected



October 1, 2022 through April 30, 2023

# Top 10 High Errors

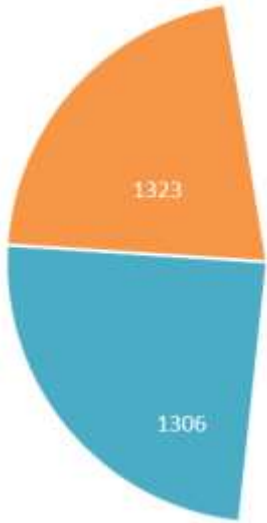
eCTD Submission Errors October 1, 2022 through April 30, 2023



# Leaf Element Errors

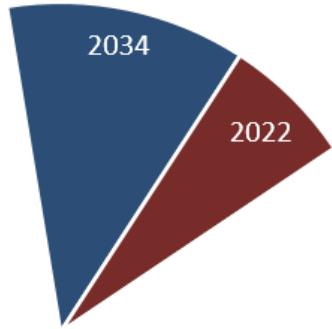
46% of High Errors are:

- Code 1306 – No leaf element for file
- Code 1323 – No file for leaf element





# Submission Type Errors

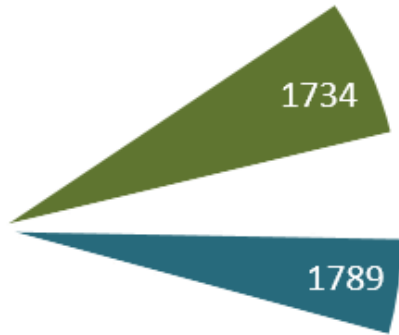


18% of High Errors are:

- Code 2034 – Submission Type invalid for Application Type
- Code 2022 – Submission Sub-Type is invalid for Submission Type

# Study Data Errors

10% of High Errors are:



- Code 1734 – A dataset named ts.xpt with information on study start date must be present for each study in Module 4, sections 4.2.3.1, 4.2.3.2, 4.2.3.4, and in Module 5, sections 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
- Code 1789 – A file has been submitted in a study section without providing an STF file. STFs are not required for 4.3 Literature references, 5.2 Tabular listings, 5.4 Literature references and 5.3.6 Postmarketing reports

# Challenge Question #1

**Most eCTD submission failures are due to:**

- A. Duplicate sequence number
- B. eCTD validation error
- C. Missing backbone file
- D. A single file submission

## Challenge Question #2

# The majority of High Validation Errors are due to:

- A. Missing ts.xpt file
- B. Invalid submission type or sub-type
- C. Leaf elements and files missing each other
- D. Data not referenced in an STF



# eCTD Common Questions

- Where do I place content?
- How do I cross-reference to another application?
- What file formats are recommended?
- Do I need a digital signature on my 1571/356h?
- What file-tag should I use?

# eCTD Common Questions

## Where do I place content?

Resources:

- ✓ [The Comprehensive Table of Contents Headings and Hierarchy](#)
- ✓ [M4 Organization of the Common Technical Document for the Registration of Pharmaceuticals for Human Use Guidance for Industry](#)
- ✓ FDA Regulatory Project Manager
- ✓ [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)

*The Comprehensive Table of Contents Headings and Hierarchy*

### **Module 1 Administrative information**

#### *1.1 Forms*

Form [form-type]

#### *1.2 Cover letters*

#### *1.3 Administrative information*

1.3.1 Contact/sponsor/applicant information

**1.3.1.1 Change of address or corporate name**

**1.3.1.2 Change in contact/agent**

**1.3.1.3 Change in sponsor**

**1.3.1.4 Transfer of obligation**

**1.3.1.5 Change in ownership of an application or reissuance of license**

1.3.2 Field copy certification

1.3.3 Debarment certification

1.3.4 Financial certification and disclosure

1.3.5 Patent and exclusivity

**1.3.5.1 Patent information**

**1.3.5.2 Patent certification**

**1.3.5.3 Exclusivity claim**

1.3.6 Tropical disease priority review voucher

#### *1.4 References*

1.4.1 Letter of authorization

1.4.2 Statement of right of reference

1.4.3 List of authorized persons to incorporate by reference

# eCTD Common Questions

## How do I cross-reference to another eCTD application?

Resources:

- ✓ [eCTD Backbone Files Specification for Module 1](#)
- ✓ [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)

### b. **Cross-reference-application-number** element

This element should only be provided when an application makes reference to other applications. Cross references are unnecessary when the application(s) being referenced are in the *application-set*.<sup>2</sup> A cross reference only needs to be identified once.

Provide the six (6)-digit application number in the *cross-reference-application-number* element. Only provide numeric digits, including any leading zeros for the application number, without letters or dashes.

Each *cross-reference-application-number* element requires an attribute of *application-type* and the attribute should be provided as a coded value from its corresponding attribute list (*application-type.xml*). The current valid codes for *application-type* are available in the eCTD Submission Standards on the FDA website: <https://www.fda.gov/ectd>.

The following is an example of a *cross-reference-application-number* element. In this example, the application NDA 456789 cross-references DMF 012345. The *cross-reference-application-number* element contains the attribute value of "fdaat5" for the *application-type*, which indicates it is a Drug Master File (DMF).

```

...
<a application-number application-type="fdaat1">456789</application-number>
<cross-reference-application-number application-type="fdaat5">012345</cross-reference-application-number>
...

```

# eCTD Common Questions



## What file formats are expected?

Resources:

- ✓ [Specifications for File Format Types](#)
- ✓ FDA Regulatory Project Manager
- ✓ [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)

## Specifications for File Format Types Using eCTD Specifications

File Type	File Format	Format Name	Accepted location in eCTD	Archive Format Copy	Permissible Uses
<i>Documents</i>					
	.pdf	Portable Document Format	M1 – M5		
	.doc	Microsoft Word document	M1.14, 1.16 M2.3, M2.7	PDF	ANDA
	.docx	Microsoft Word Open XML document	M1.14, 1.16 M2.3, M2.7	PDF	ANDA
	.txt	Text file	M3 – M5		
	.xls	Microsoft Excel document	M3 – M5	PDF	
	.xlsx	Microsoft Excel Open XML document	M3 – M5	PDF	
<i>Images</i>					
	.bmp	Bitmap	M1.15		



# eCTD Common Questions



## Do I need a digital signature on my 1571/356h?

Resources:

- ✓ [Important Information About Digital/Electronic Signatures | FDA](#)
- ✓ [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)

### Important Information About Digital/Electronic Signatures



FDA does not require submission of a paper copy for electronic submissions submitted using the FDA ESG.

FDA forms (e.g., 1571, 356h) and documents require a signature. Accepted signature methods by FDA are:

- Scanned signatures
- Digital signatures
- Flattened digital signatures. A flattened digital signature must include ([see example](#)):
  - the printed name of the signer
  - the date and time when the signature was executed
  - the reason for signature

# eCTD Common Questions

## What file-tag should I use?

Resources:

- ✓ [The eCTD Backbone File Specification for Study Tagging Files](#)
- ✓ [Study Data Technical Conformance Guide v5.0](#)
- ✓ [Valid values.xml file](#)
- ✓ [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)

```

[?xml version="1.0" encoding="UTF-8"?]
<ectd:study-values xmlns:ectd="http://www.ich.org/ectd" dtd-version="2.2">
<!-- valid-values v3.0 - November10, 2016 -->
  <category name="species">
    <valid-value rsn="ich" value="mouse"/>
    <valid-value rsn="ich" value="rat"/>
    <valid-value rsn="ich" value="hamster"/>
    <valid-value rsn="ich" value="other-rodent"/>
    <valid-value rsn="ich" value="rabbit"/>
    <valid-value rsn="ich" value="dog"/>
    <valid-value rsn="ich" value="non-human-primate"/>
    <valid-value rsn="ich" value="other-non-rodent-normal"/>
    <valid-value rsn="ich" value="non-mammals"/>
  </category>
  <category name="route-of-admin">
    <valid-value rsn="ich" value="oral"/>
    <valid-value rsn="ich" value="intravenous"/>
    <valid-value rsn="ich" value="intramuscular"/>
    <valid-value rsn="ich" value="intraperitoneal"/>
    <valid-value rsn="ich" value="subcutaneous"/>
    <valid-value rsn="ich" value="inhalation"/>
    <valid-value rsn="ich" value="topical"/>
    <valid-value rsn="ich" value="other"/>
  </category>
  <category name="duration">
    <valid-value rsn="us" value="short"/>
    <valid-value rsn="us" value="medium"/>
    <valid-value rsn="us" value="long"/>
  </category>
  <category name="type-of-control">
    <valid-value rsn="ich" value="placebo"/>
    <valid-value rsn="ich" value="no-treatment"/>
    <valid-value rsn="ich" value="dose-response-without-placebo"/>
    <valid-value rsn="ich" value="active-control-without-placebo"/>
    <valid-value rsn="ich" value="external"/>
  </category>
  <property>
    <valid-value rsn="us" value="site-identifier"/>
  </property>
  <file-tag>
    <valid-value rsn="ich" value="pre-clinical-study-report"/>
    <valid-value rsn="ich" value="legacy-clinical-study-report"/>
    <valid-value rsn="ich" value="synopsis"/>
    <valid-value rsn="ich" value="study-report-body"/>
    <valid-value rsn="ich" value="protocol-or-amendment"/>
    <valid-value rsn="ich" value="sample-case-report-form"/>
    <valid-value rsn="ich" value="iec-1rb-consent-form-list"/>
    <valid-value rsn="ich" value="list-description-investigator-site"/>
    <valid-value rsn="ich" value="signatures-investigators"/>
    <valid-value rsn="ich" value="list-patients-with-hatches"/>
    <valid-value rsn="ich" value="randomisation-scheme"/>
    <valid-value rsn="ich" value="audit-certificates-report"/>
    <valid-value rsn="ich" value="statistical-methods-interim-analysis-plan"/>
  </file-tag>
</ectd:study-values>

```

# Challenge Question #3

## Where can I find recommended file formats?

- A. Comprehensive Table of Contents of Headings and Hierarchies
- B. Specifications for File Format Types Using eCTD Specifications
- C. eCTD Technical Conformance Guide
- D. The eCTD Backbone Files Specification for Module 1

# Summary

- Check FDA's eCTD webpage, [www.fda.gov/ectd](http://www.fda.gov/ectd) for announcements, updates, and the Specifications
- Most common eCTD submission mistake is using a duplicate sequence number



# Resources

- [Web page for latest version of eCTD guidance, specifications, and validations](#)
- [eCTD Comprehensive Table of Contents Headings and Hierarchy](#)
- [M4 Organization of the Common Technical Document for the Registration of Pharmaceuticals for Human Use Guidance for Industry](#)
- [eCTD Technical Conformance Guide](#)
- [Interdisciplinary Review Team for Cardiac Safety Studies \(formerly QT-IRT\)](#)
- [The eCTD Backbone Files Specification for Module 1](#)
- [Specifications for File Format Types](#)
- [FDA's eCTD v4 implementation page](#)

# Questions?

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Have questions after the conference? Please send to [esub@fda.hhs.gov](mailto:esub@fda.hhs.gov)



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