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GRX+Biosims Generic + Biosimilar Medicines Conference

Study Data Technical Rejection Criteria, Validation, and Self-Check Worksheet

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Agenda



- FDA Guidance and Data Standards Catalog
- Revised Technical Rejection Criteria for Study Data
- Study Data Technical Rejection Criteria Conformance Trend
- o Technical Rejection Criteria Validation Process
- Typical Error Examples and Demo of the Self-Check Worksheet
- o Implementation Timeline

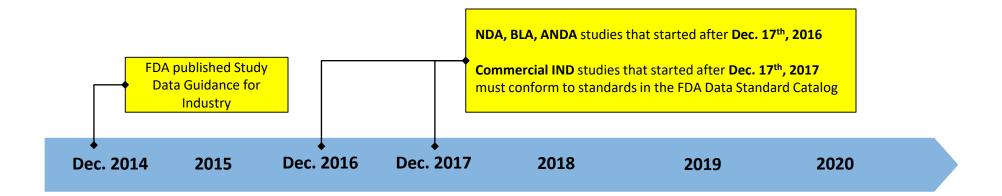


FDA Guidance and Data Standards Catalog

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

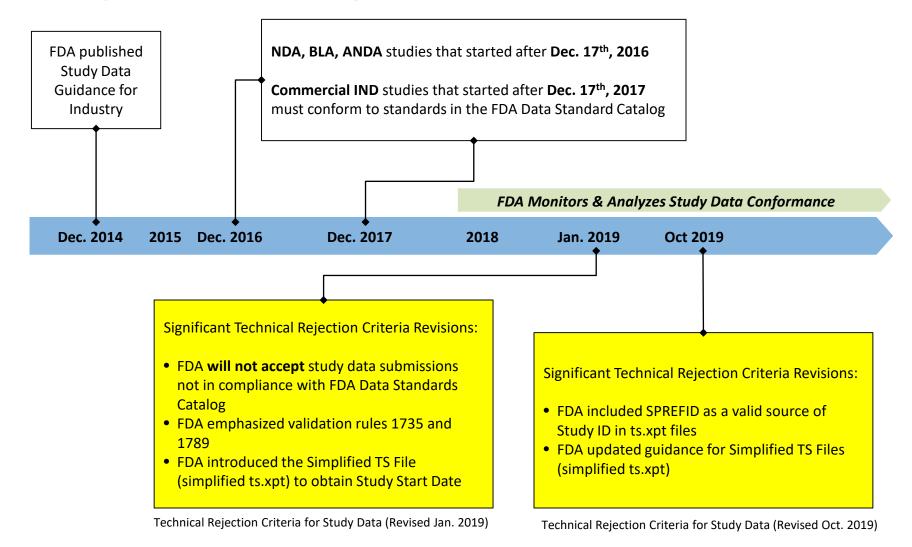




Revised Technical Rejection Criteria for Study Data



Study Data Technical Rejection Criteria (SDTRC) Revisions





Study Data Technical Rejection Criteria (SDTRC) Revisions (Jan. 2019)

Refuse to file → Will not accept

The FDA may refuse to file (RTF) for NDAs and BLAs, or refuse to receive (RTR) for ANDAs, an electronic submission that does not have study data in conformance to the required standards specified in the FDA Data Standards Catalog

FDA will not accept an electronic submission that does not have study data in compliance with the required standards specified in the FDA Data Standards Catalog

Revised TRC rules and elevated 1735 and 1789 to high severity errors

Error	Description	Severity
1734	Trial Summary (TS) dataset (ts.xpt) with information on study start date 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>	Study files must be referenced in a Study Tagging File (STF)	High



Study Data Technical Rejection Criteria (SDTRC) Revisions (Oct. 2019)

Introduced the Simplified TS File (simplified ts.xpt) and TSVALNF

For a study without a valid SSD:

STUDYID	TSPARMCD	TSVAL	TSVALNF
study ID in STF	SSTDTC		Use the value 'NA'

Included SPREFID for Study ID matching

If a file is referenced within a study section in Module 4 or 5, a STF and ts.xpt must be present to identify the study ID and SSD to which the file belongs. The ts.xpt and STF need to contain matching study ID values.

If a file is referenced within a study section in Module 4 or 5, a STF and ts.xpt must be present to identify the study ID and SSD to which the file belongs. The ts.xpt needs to contain either a study ID (STUDYID) or Sponsor Reference ID (SPREFID) value that matches with the STF study ID.





Example in Revised TRC -SPREFID for Study ID matching

A study in standardized format is submitted to FDA and the study files are referenced in a STF, a ts.xpt dataset is included in the study. The SPREFID in the ts.xpt dataset matches the study ID (study-id) in the STF. The Study Start Date in the ts.xpt is in SDTM or SEND format and the study begins after December 17, 2016, for NDAs, BLAs, and ANDAs (or December 17, 2017, for Commercial INDs).

- ❖ Additional parameter in the ts.xpt for matching study id with STF study id to pass validation 1734
 - The SPREFID parameter allows for an alternate way for Sponsors provide a matching study id
 - Multiple SPREFID values are allowed in the ts.xpt

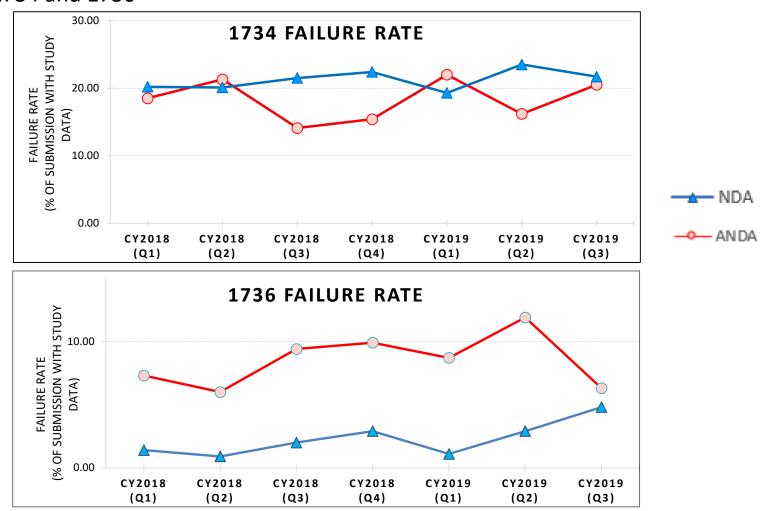


Study Data Technical Rejection Criteria Conformance Trend



1734 and 1736 Failure Rate Comparison- ANDA's and NDA's

Submissions with study data do not show significant improvements in Validation Errors 1734 and 1736



CDER Conformance: Validation Error 1789



ANDA's and NDA's were assessed for conformance to high-level error, 1789, as defined in the SDTRC (Revised Jan. 2019)

	NI	DA .	AN	DA	А	.II
	CY2018	CY2019 (Q1-Q3)	CY2018	CY2019 (Q1-Q3)	CY2018	CY2019 (Q1-Q3)
Total Number of Submissions	41,077	34,166	62,695	45,683	103,722	79,849
Error 1789	43	30	225	145	268	175
Failure Rate (% among total number of submissions)	0.10%	0.09%	0.36%	0.32%	0.25%	0.22%

Notes:

- 1) One drug application could contain multiple submissions throughout its review life-cycle, such as original, supplements, and amendments
- 2) Each submission may contain more than one study
- 3) Analysis includes NDA and ANDA submissions received by CDER between 1/1/2018 to 9/30/2019
- 4) Analysis is conducted according to the revised TRC (Revised Jan. 2019)





- ANDA and NDA were assessed for conformance to three high-level error, 1734, 1735, & 1736, as defined in the SDTRC (Revised Jan. 2019)
- Failure Rate for ANDA application increased between 2018 and 2019 and remains significantly higher than NDA applications

	NE)A	AN	IDA	ı	All
	CY2018	CY2019 (Q1-Q3)	CY2018	CY2019 (Q1-Q3)	CY2018	CY2019 (Q1-Q3)
Total Number of Submissions with Study Data	877	704	1,078	631	1,955	1,335
Total Number of Submissions with Study Data in TRC Applicable Sections		533		582		1,115
Total Number Submissions with Critical Errors	215	194	689	428	904	622
Error 1734	185	150	186	125	371	275
Error 1735	34	43	497	307	531	350
Error 1736	16	20	88	56	104	76
Failure Rate (% among submissions with Study Data)	24.50%	27.56%	63.90%	67.83%	46.24%	46.59%
Failure Rate (% among submissions with Study Data in TRC Applicable Sections)		36.4%		73.54%		55.78%

Notes:

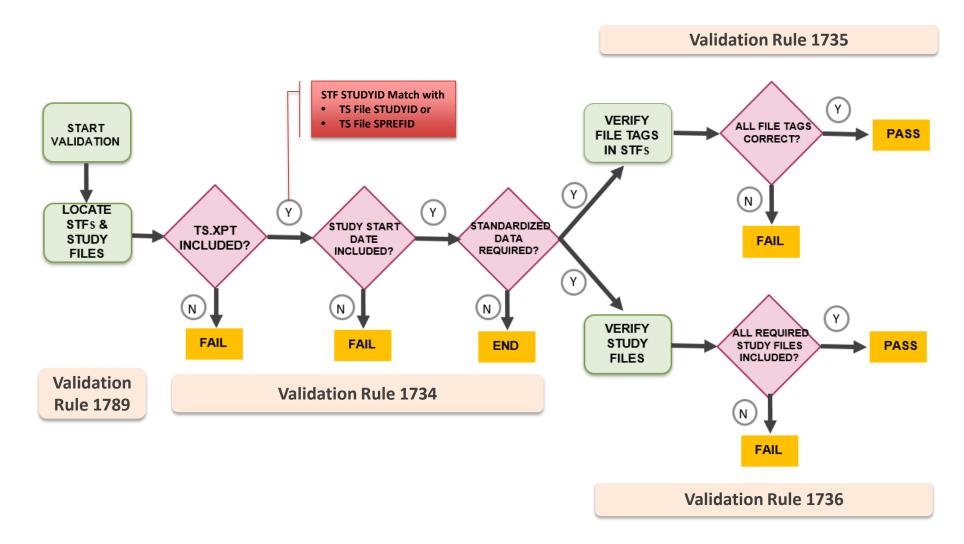
- 1) One drug application could contain multiple submissions throughout its review life-cycle, such as original, supplements, and amendments
- 2) Analysis includes NDA and ANDA submissions received by CDER between 1/1/2018 to 9/30/2019
- 3) Submission with multiple studies can report both Errors 1734, 1735 and 1736
- 4) Validation of errors 1735 and 1736 are not performed if a study has Error 1734
- 5) Analysis is conducted according to the revised TRC (Revised Jan. 2019)



Technical Rejection Criteria Validation Process

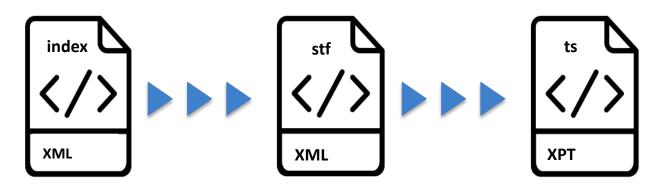






eCTD Backbone Files





- Leaf ID

File Path

- File Name

Leaf ID

STF Study ID

File-Tag

TS STUDYID

or SPREFID

Study Start Date

eCTD Backbone Files (index.xml)





```
<m5-3-5-1-study-reports-of-controlled-clinical-studies-pertinent-to-the-claimed-indication>
 <leaf checksum-type="MD5"</pre>
   xlink:type="simple"
   checksum="98723f7594b5500a861509547c384e46" operation="new"
   xlink:href="m5/53-clin-stud-rep/535-rep-effic-safety-stud/nausea/5351-stud-repcontr/study-s107/ts.xpt
   application-version="PDF 1.4"
                              INDEX LEAF ID
  ID="a103"x
     <title>S107 ts.xpt</title>
                                                                   FILE PATH FROM INDEX
</leaf>
<leaf checksum-type="MD5"</pre>
                                                                                         FILE NAME FROM INDEX
 xlink:type="simple"
  checksum="25d3b246313a9dbf688a48da2295260e" operation="new"
 xlink:href=" m5/53-clin-stud-rep/535-rep-effic-safety-stud/nausea/5351-stud-repcontr/study-s107/stf-s107.xml"
 version="stf version 2.2"
 ID="a104">
    <title>Study Tagging File for S107</title>
 </leaf>
</m5-3-5-1-study-reports-of-controlled-clinical-studies-pertinent-to-the-claimed-indication>
```

eCTD Backbone File (stf.xml)

FDA

- From Index.xml
 - Leaf ID
 - File Path
 - File Name



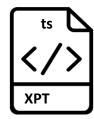
```
<?xml version="1.0" encoding="UTF-8"?>
<?xml-stylesheet type="text/xsl" href="../../../util/style/ich-stf-stylesheet.xsl"?>
<!DOCTYPE ectd:study SYSTEM "../../../util/dtd/ich-stf-v2-2.dtd">
<ectd:study xmlns:ectd="http://www.ich.org/ectd" xml:lang="en" dtd-version="2.2"</pre>
xmlns:xlink="http://www.w3.org/1999/xlink">
  <study-identifier>
  <title>Wonderdrug Study S107</title>
                                         STF STUDY ID
  kstudy-id>S107</study-id>
  <category name="type-of-control" info-type="ich">no-treatment</category>
  </study-identifier>
  <study-document>
                                                                     Index.xml LEAF ID
  <doc-content xlink:href="../../../index.xml#a103"</pre>
  <file-tag name="data-tabulation-dataset-sdtm" info-type="ich"/>
  </doc-content>
  </study-document>
</ectd:study>
                           FILE TAG ASSOCIATED TO STUDY DOCUMENT
```

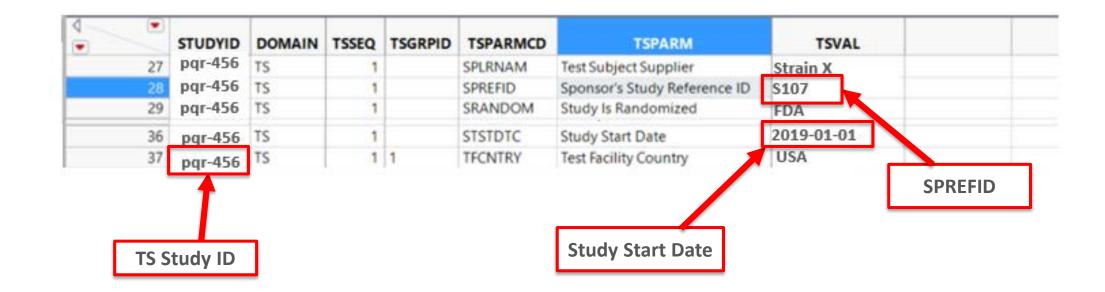
eCTD Backbone Files (Full ts.xpt)

FDA

- From Index.xml
 - Leaf ID
 - File Path
 - File Name

- ❖ From STF.xml
 - Leaf ID
 - STF Study ID
 - File-Tag



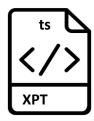


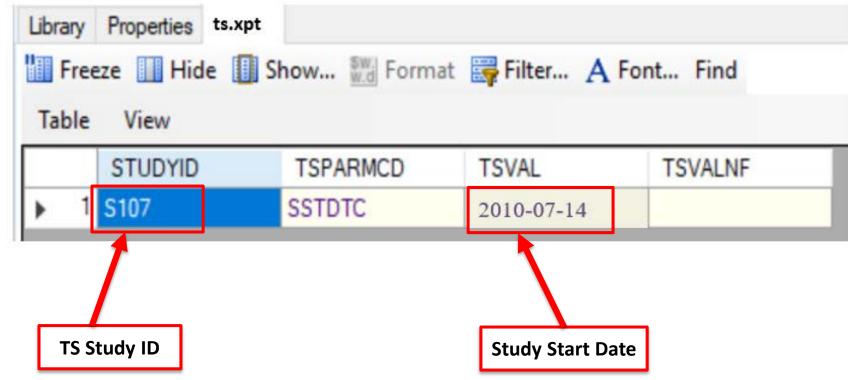
eCTD Backbone Files (Simplified ts.xpt)

FDA

- From Index.xml
 - Leaf ID
 - File Path
 - File Name

- From STF.xml
 - Leaf ID
 - STF Study ID
 - File-Tag







Typical Error Examples and Demo of the Self-Check Worksheet

Tools for Industry



FDA is developing tools and resources to help sponsors meet study data standard requirements and provide more transparency on the validation process











Gateway

Online Resources

Sponsor reviews Study Data Standard Resources and Tools for Industry:

- **Study Data Technical Rejection Criteria** with eCTD Validation Table and Example **Submission Scenarios**
- **Simplified TS File Generator Utility** (PhUSE) OR

Simplified TS File Creation Guide

Study Data Self-Check Worksheet & Instructions

Sponsor submits a eCTD and/or Standardized Data Sample to the FDA for validation

After review, FDA will provide with feedback, highlighting the errors found during the processing of the sample submission

Sponsor submits an application with study data



How Many People are aware of Study Data Self-Check Worksheet?



How Many People use Study Data Self-Check Worksheet?

Self-Check Worksheet



Section	Contents
1	 Application & Submission Information Provides high level information about the application and submission
2	Provides more detailed information about the specific study
3	STF File Information (1789 Validation Error)Provide information about STF file

Reference:

"Technical Rejection Criteria Self-Check Worksheet"

https://www.fda.gov/media/123098/download
"Technical Rejection Criteria Self-Check Worksheet

Instructions"

https://www.fda.gov/media/123099/download

SELF-CH Note: This self-check Worksh prepare newly submitted stud	IECK WORKSHEET FO	Administration OR STUDY DATA bmissions of study	PREPARATION	
*Required Field				
Section 1: Application & Sul	bmission Information			
1a. FDA Center* 1b. App	olication Type*		1c. Application Num	nber*
CDER CBER ND		Commercial IND		
1d. eCTD Sequence Number	1e. eCTD Submission	1 Type	1f. eCTD Submission S	Sub Type
Note: Repeat Sections 2 thr	ough 5 for each study in	cluded in the sub	mission.	
Section 2: Study Information	n			
2a. Study ID*				
•				
(Study ID is the unique identifier ad) must be consistent ac	ross all the files
being submitted for the same study				
2b. Is This the First Time Study Da	ta is Being Submitted for This	Study as Part of This	Application?*	
Yes No				
If you answered "No" in Field 2b, o	lo not proceed. This self-chec	k worksheet is design	ed for newly submitted s	study data.
2c. Title of the Study		2d. Study Section -	CTD Heading (Example	le: m4-2-1-1)*
		or or 1 D 1 1 T		
2e. Module* Nonclinical (m4)	linical (m5)	2f. Study Dataset Ty Tabulation	/pe(s)* Analysis	Other
Section 3: Study Information		radulation	Analysis	Oliver
Section 5. Study information	·			
3a. Are Files Included in a Study S	ection? (Not Applicable to Sec	tions 4.3, 5.2, 5.3.6, a	and 5.4)*	
Yes No				
If you answered "No" in Field 3a, a Validation Rules 1734, 1735, 1736			g sections 4.3, 5.2, 5.3.	6, and 5.4, then
3b. Is STF File Included?"	3c. Does STF File Refere	nce all Associated Stu	ıdy Files?* Refer	enced Validation
Yes No	Yes No			Number 1789
If you answered "No" in Fields 3b	or 3c, Validation Rule 1789 F	AILS. Do not proceed.		<u></u>
3d. Study ID in STF File*		3e. Does the Study	ID in the STF File Match	h Field 2a?
		Yes No		
If you answered "No" in Field 3e, e	ensure the study ID is consiste	nt across all the files l	peing submitted for the a	same study.
				<u> </u>

Self-Check Worksheet (1734 Validation Error)



Section	Contents
4	 TS File Information (1734 Validation Error) Provide information about ts.xpt file with study start date

Reference:

"Technical Rejection Criteria Self-Check Worksheet"

https://www.fda.gov/media/123098/download
"Technical Rejection Criteria Self-Check Worksheet Instructions"

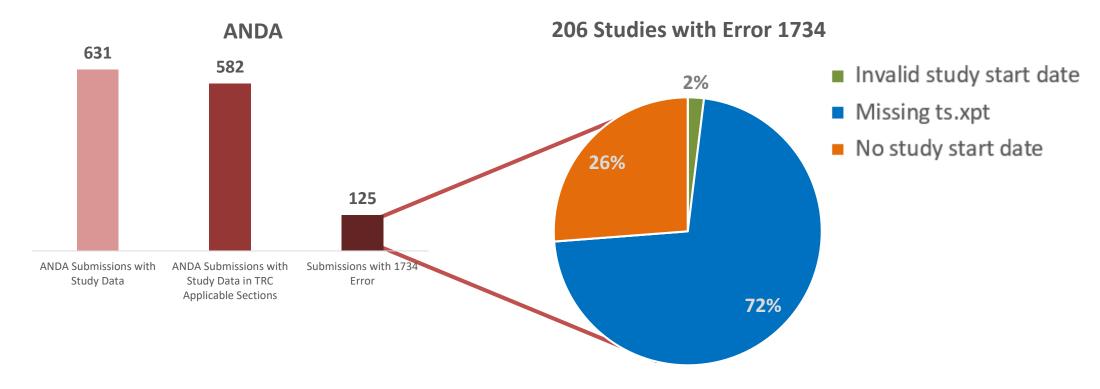
https://www.fda.gov/media/123099/download

Section 4: TS Fi	le Information						
4a. What Type of T	S File is Required?* (i		elines i Require				
Study Start Date	Application Type	Data Typ	oe	Study Section	Required Type (by CDE	Center)	Required TS File Type (by Center) CBER
Prior to or on 17-Dec-16	NDA, BLA, or ANDA	Nonclinic	al	4.2.3.1, 4.2.3.2, 4.2.3.4	Simplifie	ed TS	Not Required
Prior to or on 17-Dec-16	NDA, BLA, or ANDA	Clinical	l	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	Simplifie	ed TS	Simplified TS
Prior to or on 17-Dec-17	Commercial IND	Nonclinic	al	4.2.3.1, 4.2.3.2, 4.2.3.4	Simplifie	ed TS	Not Required
Prior to or on 17-Dec-17	Commercial IND	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	Not Req	uired	Not Required
After 17-Dec-16	NDA, BLA, or ANDA	Nonclinic	al	4.2.3.1, 4.2.3.2, 4.2.3.4	Full	rs	Not Required
After 17-Dec-16	NDA, BLA, or ANDA	Clinical	l	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	Full	rs	Full TS
After 17-Dec-17	Commercial IND	Nonclinic	al	4.2.3.1, 4.2.3.2, 4.2.3.4	Full	rs	Not Required
After 17-Dec-17	Commercial IND	Clinical	ı	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	Not Req	uired	Not Required
If you answered "No	ot Required" in Field 4	la, then Valida	ation R	Pules 1734, 1735, and 1736 o	lo not apply.	Do not j	proceed.
4b. Is TS File Includ	led?*						enced Validation Number 1734
If you answered "No	o" in Field 4b, Validat	ion Rule 1734	FAILS	S. Do not proceed.			
4c. Study ID in TS F	ile*						
4d. Does Study ID i	n STF (Field 3d) & TS	Files Match?	?				enced Validation Number 1734
If you answered "No	o" in Field 4d, Validat	ion Rule 1734	4 FAILS	S. Do not proceed.			
4e. Study Start Date	e in TS File		_	Study Start Date Exists, Is it	Valid?		enced Validation Number 1734
4g. If Study Start Da	ate does not Exist, Wh	hat is the Stat	ed Exc	eption Code?			
		ield 4e and y	ou do	not have a stated Exception	Code in Fiel	ld 4g, V	alidation Rule
1734 FAILS. Do noi Or, if you answered	proceed. "No" in Field 4f, Valid	lation Rule 17	734 FA	ILS. Do not proceed.			

CY2019 (Q1-Q3) CDER Error Reasons for Validation Rule 1734



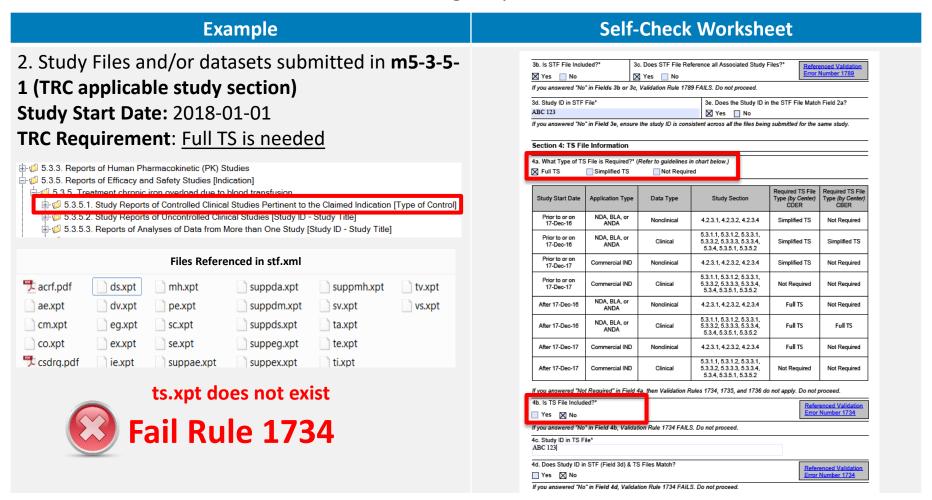
- A dataset named ts.xpt with information on Study Start Date (SSD) must be present for each study
- Common error reason for ANDAs:
 - A missing ts.xpt file
 - A missing study start date in the ts.xpt







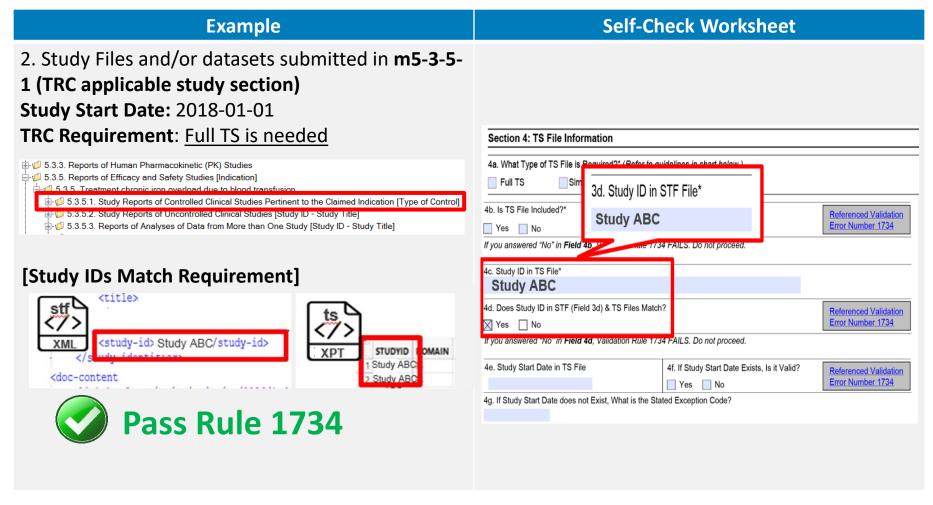
- Trial Summary (TS) dataset (ts.xpt) with information on study start date must be present for required sections
- ❖ 72% of studies with 1734 error are because of a missing ts.xpt file







- Trial Summary (TS) dataset (ts.xpt) with information on study start date must be present for required sections
- 72% of studies with 1734 error are because of a missing ts.xpt file







- Trial Summary (TS) dataset (ts.xpt) with information on study start date must be present for required sections
- 26% of studies with 1734 error are because of invalid study start date

Example	Self-Check Worksheet
 2. Study Files and/or datasets submitted in m5-3-5-1 (TRC applicable study section) Study Start Date: 2018-01-01 TRC Requirement: Full TS is needed 	Section 4: TS File Information
[Study Date Format Requirement] • yyyy-mm-dd	4a. What Type of TS File is Required?* (Refer to guidelines in chart below.) Full TS
TS.XPT	If you answered "No" in Field 4b, Validation Rule 1734 FAILS. Do not proceed. 4c. Study ID in TS File*
SSTDTC Study Start Date 2018-01-01	Study ABC
Pass Rule 1734	Ad. Does Study ID in STF (Field 3d) & TS Files Match? Yes





Section	Contents
	Standardized Dataset Information
	(1735 & 1736 Validation Error)
5	Provide information about SEND or STDM
	and/or ADaM dataset and define.xml
	Provide information about STF File-tags

Reference:

"Technical Rejection Criteria Self-Check Worksheet"

https://www.fda.gov/media/123098/download
"Technical Rejection Criteria Self-Check Worksheet Instructions"

https://www.fda.gov/media/123099/download

Study Start Date Study Start Date Application Type Standardized Datasets Required	5a. Are Standardized	Datasets Required?*			
Prior to or on 17-Dec-16 NDA, BLA, or ANDA Not Required Prior to or on 17-Dec-17 NDA, BLA, or ANDA Required Prior to or on 17-Dec-17 NDA, BLA, or ANDA Required Prior to or on 17-Dec-17 Commercial IND Not Required Prior to or on 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required If you answered "No" in Field 5a, standardized datasets are not required and Validation Rules 1735 and 1736 do not apply. Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical tabulation datasets (SEND), and Fields 5j-5m are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection oriteria will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 5g. Is Define File Included?" Yes No For No Referenced Validation For Number 1735 File-Tags for the SDTM Datasets "data-tabulation-dataset-sdtm"?" Yes No Referenced Validation For Number 1735	Yes No				
After 17-Dec-16 NDA, BLA, or ANDA Required Prior to or on 17-Dec-17 Commercial IND Not Required After 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required If you answered 'No" in Field 5a, standardized datasets are not required and Validation Rules 1735 and 1736 do not apply. Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection conteris will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 5f. Is DM File Included?* Yes No Referenced Validation From Number 1735 The STF File-Tags for the SDTM Datasets 'data-tabulation-dataset-sdtm'?* Yes No Referenced Validation Rule 1735 FAILS. Proceed to Fields 5h and 5i for Validation Rule 1735. Referenced Validation From Number 1735 Referenced Validation From Number 1735 The No Referenced Validation Rule 1735 FAILS. Referenced Validation From Number 1735 The No Referenced Validation Rule 1736 FAILS. Proceed to Fields 5l and 5m for Validation Rule 1735. Referenced Validation From Number 1735 The No Referenced Validation Rule 1736 FAILS. Proceed to Fields 5l and 5m for Validation Rule 1735. Referenced Validation From Number 1735 Referenced Validation From Number 1735 No Referenced Validation From Number 1735 Referenced Validation From Number 1735 Referenced Validation From Number 1735		Study Start Date	Application Type		
Prior to or on 17-Dec-17 Commercial IND Not Required After 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required After 17-Dec-17 Commercial IND Required If you answered "No" in Fields 5a, standardized datasets are not required and Validation Rules 1735 and 1736 do not apply. Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical tabulation datasets (SDTM), and Fields 5j-5m are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection oriteria will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 5g. Is Define File Included?* Yes		Prior to or on 17-Dec-16	NDA, BLA, or ANDA	Not Required	
After 17-Dec-17 Commercial IND Required If you answered "No" in Field 5a, standardized datasets are not required and Validation Rules 1735 and 1736 do not apply. Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical tabulation datasets (SDTM), and Fields 5j-5m are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection criteria will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 5t. Is DB File Included?" Yes No Yes No Referenced Validation Error Number 1735 If you answered "No" in Fields 5f or 5g, Validation Rule 1736 FAILS. Proceed to Fields 5h and 5i for Validation Rule 1735. Referenced Validation Error Number 1735		After 17-Dec-16	NDA, BLA, or ANDA	Required	
If you answered 'No' in Field 5a, standardized datasets are not required and Validation Rules 1735 and 1736 do not apply. Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, novever, study data technical rejection criteria will not be applicable until further notice. Clinical (In5) Tabulation (SDTM datasets) 5f. Is DM File Included?'		Prior to or on 17-Dec-17	Commercial IND	Not Required	
Do not proceed. Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical tabulation datasets (SEND), and Fields 5j-5m are applicable to clinical analysis datasets (ADaM).		After 17-Dec-17	Commercial IND	Required	
Fields 5b-5e are applicable to nonclinical tabulation datasets (SEND), Fields 5f-5i are applicable to clinical tabulation datasets (SEND), and Fields 5j-5m are applicable to clinical analysis datasets (ADaM). Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection criteria will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 5g. Is Define File Included?* Yes No From Number 1735 Tabulation (SDTM datasets) 5g. Is Define File Included?* Yes No From Number 1735 The STF File-Tags for the SDTM Datasets "data-tabulation-dataset-sdtm"?* Yes No Referenced Validation Rule 1735 FAILS. Proceed to Fields 5h and 5i for Validation Rule 1735 The STF File-Tag for the Define File "data-tabulation-data-definition?* The STF File-Tag for the Define File Included?* Yes No The STF File-Tag for the Define File Included?* Yes No Referenced Validation Error Number 1735 The STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?* Yes No Referenced Validation Error Number 1735 Referenced Validation Rule 1735	If you answered "No	o" in Field 5a, standardized da	atasets are not required and	Validation Rules 1735 and 1	736 do not apply.
Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection criteria will not be applicable until further notice. Clinical (m5)	Do not proceed.	•	•		
Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection criteria will not be applicable until further notice. Clinical (m5)					
Note: For clinical data in Commercial INDs standardized datasets are required if the study start data is after the date stated, however, study data technical rejection oriteria will not be applicable until further notice. Clinical (m5) Tabulation (SDTM datasets) 56. Is DM File Included?* Yes				if-5i are applicable to clinica	l tabulation datasets
Referenced Validation Rule 1735 FAILS. Referenced Validation Rule 1735 Referenced Validation Rule 1735 FAILS. Referenced Validation Rule 1735 Ref	(SDTM), and Fields :	5j-5m are applicable to clinica	ıl analysis datasets (ADaM).		
Commons Comm	Note: For clinical data	a in Commercial INDs standar	rdized datasets are required	if the study start data is after	r the date stated
Clinical (m5) Tabulation (SDTM datasets) 5g. Is Define File Included?* Yes No Referenced Validation Firor Number 1735. The STF File-Tags for the SDTM Datasets "data-tabulation-dataset-sdtm"?* Yes No Referenced Validation Rule 1735. Referenced Validation Finor Number 1735.					ine date stated,
Tabulation (SDTM datasets)		teorimous rejection ontena wiii	THE DE OPPHICADIC ATTAINMENT	. House.	
Signed Specific Speci		11-1			
Yes	-				
If you answered "No" in Fields 5f or 5g, Validation Rule 1736 FAILS. Proceed to Fields 5h and 5i for Validation Rule 1735. Sh. Are the STF File-Tags for the Define File "data-tabulation-data-definition?" Yes No Referenced Validation Error Number 1735	of. Is DM File Include	d?* 5g. Is Define File	Included?*	Re	ferenced Validation
Analysis (ADaM datasets) St. No Referenced Validation St. So No Referenced Validation	Yes No	Yes No		En	ror Number 1736
Analysis (ADaM datasets) St. No Referenced Validation St. So No Referenced Validation					
Referenced Validation By Str. No Referenced Valid	If you answered "No"	in Fields 5f or 5g, Validation	Rule 1/36 FAILS. Proceed		
Referenced Validation First No Referenced Validation Fror Number 1735				to ricido om and orion vond	ation Rule 1735.
Si. Is the STF File-Tag for the Define File "data-tabulation-data-definition?" Yes				to ricide on and orior valid	anon Rule 1735.
Si. Is the STF File-Tag for the Define File "data-tabulation-data-definition?" Yes	5h. Are the STF File-	Tags for the SDTM Datasets	"data-tabulation-dataset-sdtr		ation Rule 1735.
Yes No If you answered "No" in Fields 5h or 5i, Validation Rule 1735 FAILS. Analysis (ADaM datasets) 5j, Is ADSL File Included?* Yes No Referenced Validation Error Number 1735 If you answered "No" in Fields 5j or 5k, Validation Rule 1736 FAILS. Proceed to Fields 5l and 5m for Validation Rule 1735. 5l. Are the STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?* Yes No Referenced Validation Error Number 1735 Referenced Validation Error Number 1735 Yes No		Tags for the SDTM Datasets	"data-tabulation-dataset-sdtr	n*?*	
Type No In Fields 5h or 5i, Validation Rule 1735 FAILS. Analysis (ADAM datasets)	Yes No			n*?*	ferenced Validation
Inalysis (ADaM datasets) 5j. Is ADSL File Included?* Yes No No No Referenced Validation Error Number 1736 File Included?* Yes No Referenced Validation Error Number 1735 Referenced Validation Rule 1736 FAILS. Proceed to Fields 5I and 5m for Validation Rule 1735. 5i. Are the STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?* Yes No Referenced Validation Error Number 1735 Referenced Validation Error Number 1735	Yes No			n*?*	ferenced Validation
Inalysis (ADaM datasets) 5j. Is ADSL File Included?* Yes No No No Referenced Validation Error Number 1736 File Included?* Yes No Referenced Validation Error Number 1735 Referenced Validation Rule 1736 FAILS. Proceed to Fields 5I and 5m for Validation Rule 1735. 5i. Are the STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?* Yes No Referenced Validation Error Number 1735 Referenced Validation Error Number 1735	Yes No			n*?*	ferenced Validation
Sil. is ADSL File Included?* Sil. is Define File Included?* Referenced Validation Yes No No Referenced Validation Error Number 1735	Yes No No No No No Yes No	g for the Define File "data-tab	ulation-data-definition?*	n*?*	ferenced Validation
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Yes No Yes No Fror Number 1738 If you answered "No" in Fields 5j or 5k, Validation Rule 1736 FAILS. Proceed to Fields 5l and 5m for Validation Rule 1735. 5l. Are the STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?" Yes No The STF File-tag for the Define File "analysis-data-definition"?" Yes No The STF File-tag for the Define File "analysis-data-definition"?"	Yes No i. Is the STF File-Ta Yes No if you answered "No"	g for the Define File "data-tab in Fields 5h or 5i, Validation	ulation-data-definition?*	n*?*	ferenced Validation
If you answered "No" in Fields 5j or 5k, Validation Rule 1736 FAILS. Proceed to Fields 5l and 5m for Validation Rule 1735. Sl. Are the STF File-Tags for the ADaM Datasets "analysis-dataset-adam"?" Yes No Referenced Validation Error Number 1735 Yes No	Yes No 5i. Is the STF File-Ta Yes No If you answered "No" Analysis (ADaM data	g for the Define File "data-tab in Fields 5h or 5i, Validation sets)	ulation-data-definition?* Rule 1735 FAILS.	n*?* Re	ferenced Validation for Number 1735
Side of the Define File "analysis-data-definition"?" Yes	Yes No No No Yes No Yes No Hyou answered "No" Analysis (ADaM data Ej, Is ADSL File Inclu	g for the Define File "data-tab in Fields 5h or 5i, Validation sets) ded?" 5k. Is Define File	ulation-data-definition?* Rule 1735 FAILS. Included?*	Re En	ferenced Validation or Number 1735
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Eferenced Validation Em. Is the STF File-tag for the Define File "analysis-data-definition"?" Yes No	Yes No Si. Is the STF File-Ta Yes No If you answered "No" Analysis (ADaM data Sij. Is ADSL File Inclu Yes No If you answered "No"	g for the Define File "data-tab in Fields 5h or 5i, Validation sets) 5k. Is Define File	Rule 1735 FAILS. Included?* Rule 1736 FAILS. Proceed	Re En	derenced Validation or Number 1735
on, size STF recussion the Deline rite analysis-data-definition ? Yes No	Yes No No No If you answered "No" Analysis (ADSK File Inclued No No Yes No Figure No Yes No Figure No Yes No If you answered "No"	g for the Define File "data-tab in Fields 5h or 5i, Validation sets) 5k. Is Define File	Rule 1735 FAILS. Included?* Rule 1736 FAILS. Proceed	Re En	derenced Validation or Number 1735
Yes No	Yes No No No If you answered "No" Analysis (ADSK File Inclued No No Yes No Figure No Yes No Figure No Yes No If you answered "No"	g for the Define File "data-tab in Fields 5h or 5i, Validation sets) 5k. Is Define File	Rule 1735 FAILS. Included?* Rule 1736 FAILS. Proceed	Re En	derenced Validation for Number 1735
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	Yes No No No If you answered "No" Analysis (ADaM data Sj. Is ADSL File Inclu Yes No If you answered "No" So No No If you answered "No" No No If you answered "No" Is the STF File-ta	g for the Define File "data-tab in Fields 5h or 5i, Validation sete) 5k. Is Define File Yes No in Fields 5j or 5k, Validation	Rule 1735 FAILS. Included?* Rule 1736 FAILS. Rule 1736 FAILS. Proceed analysis-dataset-adam*?*	Re En	derenced Validation for Number 1735
FORM FDA 4061 (06/19) Page 3 of 4 PSC Publishing Services (01) 443-6740 EF	Yes No No No If you answered "No" Analysis (ADaM data Sj. Is ADSL File Inclu Yes No If you answered "No" So No No If you answered "No" No No If you answered "No" Is the STF File-ta	g for the Define File "data-tab in Fields 5h or 5i, Validation sete) 5k. Is Define File Yes No in Fields 5j or 5k, Validation	Rule 1735 FAILS. Included?* Rule 1736 FAILS. Rule 1736 FAILS. Proceed analysis-dataset-adam*?*	Re En	derenced Validation for Number 1735

Fillable Self-Check Worksheet

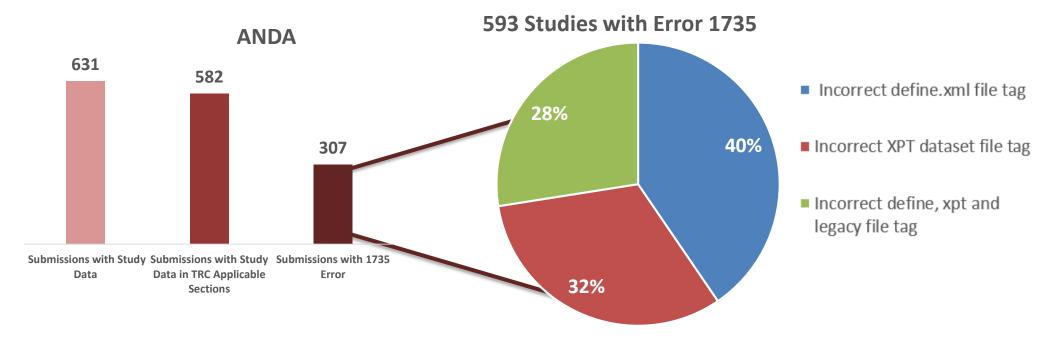
CY2019 (Q1-Q3) CDER Error Reasons for Validation Rule 1735



The correct STF file tags must be used for all standardized datasets and corresponding define.xml files

Common error reason for ANDAs:

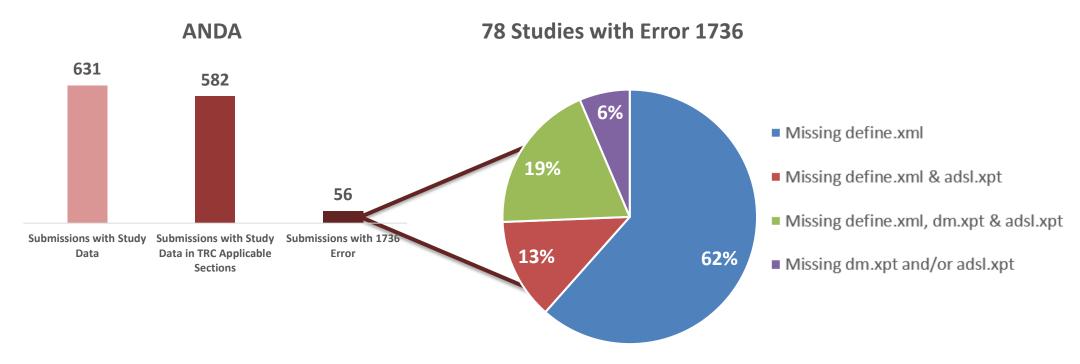
- An incorrect file tag for a define.xml file
- An incorrect file tag for a XPT file



CY2019 (Q1-Q3) CDER Error Reasons for Validation Rule 1736



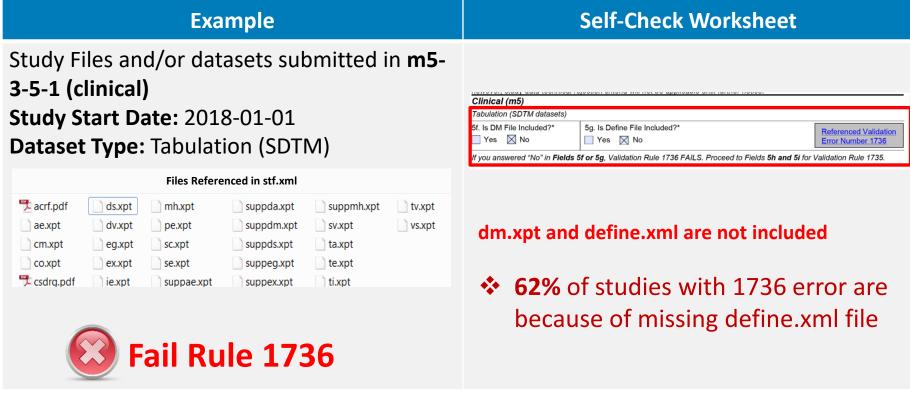
- For SEND data, a DM dataset and define.xml must be submitted
- For SDTM data, a DM dataset and define.xml must be submitted
- For ADaM data, an ADSL dataset and define.xml must be submitted
- Common error reason for ANDAs:
 - A missing define.xml files
 - A missing define.xml, dm.xpt, and adsl.xpt files







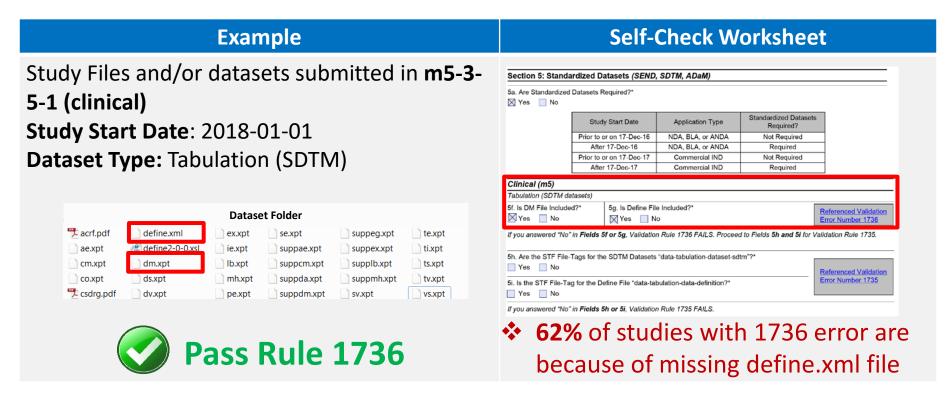
- Rule 1735: Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections
- Rule 1736: For SEND data, a DM dataset and define xml must be submitted in required sections
 - For SDTM data, a DM dataset and define.xml must be submitted in required sections
 - For ADaM data, an ADSL dataset and define.xml must be submitted in required sections



TRC Validation Rule 1735 and 1736 (Section 5f-5g)



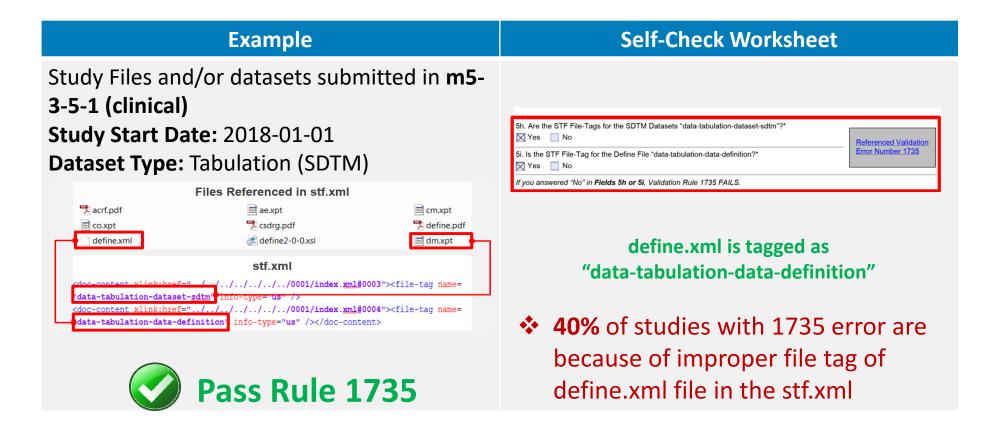
- Rule 1735: Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections
- Rule 1736: For SEND data, a DM dataset and define xml must be submitted in required sections
 - For SDTM data, a DM dataset and define.xml must be submitted in required sections
 - For ADaM data, an ADSL dataset and define.xml must be submitted in required sections







- Rule 1735: Correct STF file-tags must be used for all standardized datasets and corresponding define.xml files in required sections
- Rule 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



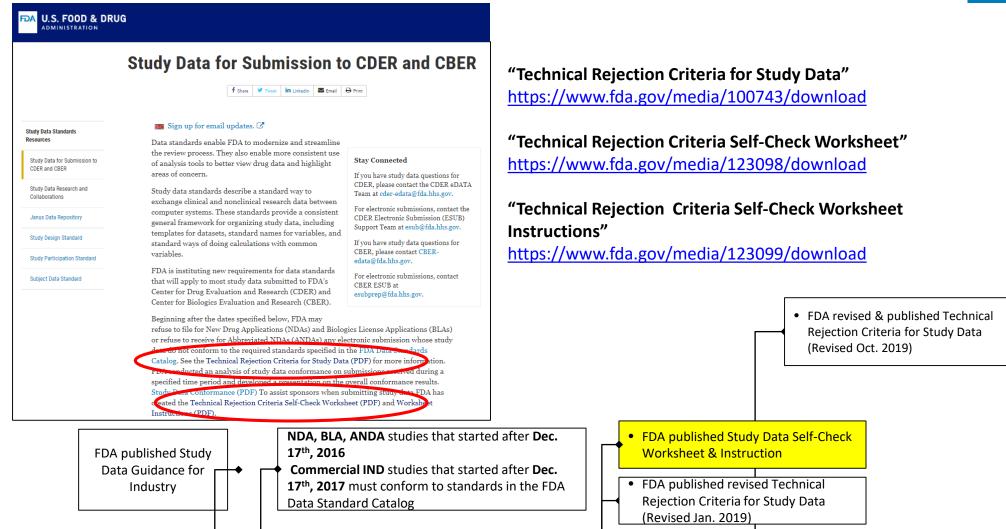
Published SDTRC and Self-Check Worksheet

Dec. 2014

Dec. 2016

2015





www.fda.gov

2018

Jan. 2019

Oct. 2019

Dec. 2017

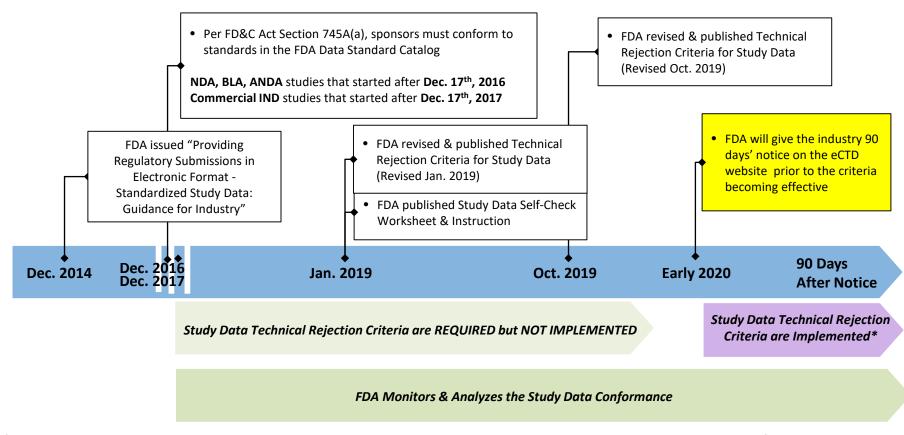


Implementation Timeline

Implementation Timeline



FDA published Revised Study Data Technical Rejection Criteria (Revised Oct. 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

Questions



- For questions about submitting study data please contact: edata@fda.hhs.gov
- For questions about eCTD, including stf.xml and file-tags, please contact: esub@fda.hhs.gov



Reference



- "Providing Regulatory Submissions In Electronic Format Standardized Study Data: Guidance For Industry" https://www.fda.gov/downloads/Drugs/GuidanceComplianceRegulatoryInformation/Guidances/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/Guidances/UCM384686.pdf
- "Technical Rejection Criteria For Study Data" https://www.fda.gov/media/100743/download
- "Study Data Technical Conformance Guide" https://www.fda.gov/media/88173/download
- "FDA Data Standards Catalog" https://www.fda.gov/ForIndustry/DataStandards/StudyDataStandards/default.htm
- "Technical Denunciation Criteria Self-Check Worksheet" https://www.fda.gov/media/123098/download
- "Technical Rejection Criteria Self-Check Worksheet Instructions" https://www.fda.gov/downloads/ForIndustry/DataStandards/StudyDataStandards/UCM630733.pdf
- For FDA instruction of Study Data submission, see the FDA "Study Data for Submission to CDER and CBER" https://www.fda.gov/industry/study-data-standards-resources/study-data-submission-cder-and-cber
- For the full list of Study Data standards, see the FDA "Study Data Standards Resources" http://www.fda.gov/ForIndustry/DataStandards/StudyDataStandards
- PhUSE utility for Simplified TS File Creation https://geotiger.shinyapps.io/07_genTS/

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