EUROPEAN MEDICINES AGENCY
SCIENCE MEDICINES HEALTH

Submissions to the PSUR Repository using EMA Gateway/Web Client

Webinar training to existing Gateway users

Presented by Kristiina Puusaari on 10 February 2015

An agency of the European Union

Presenters from EMA

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Outline of Today's Webinar

- PSUR Repository background
- PSUR Repository project
- Phased approach to implementation
- Pilot stages
- eSubmission Gateway Process
- How to name the zip package
- How to create a delivery file
- Create delivery file screen
- Submission using the Web Client
- Common issues
- Key points during the Web Client transmission
- Acknowledgement Example
- How to avoid problems
- Support and Guidance
- Regular bulletins
- PSUR Repository support
- Contact information and useful links

PSUR Repository background

- *Article 25a of Reg. (EC) 726/2004* requires the Agency (in collaboration with the EC and Member States) to set up and maintain a repository for PSURs and corresponding assessment reports.
- In accordance with the legal requirements as set out in Regulation (EC) No 726/2004, Directive 2001/83/EC and the Commission Implementing Regulation (EU) 520/2012, the PSUR Repository has to adequately support the following processes:
  a. *The **electronic submission of PSURs*** and PSUR assessment reports allowing the EMA to receive these documents.
  b. The **storage and retrieval** of PSURs and PSUR assessment reports by authorised users of NCAs and the EMA, the Commission, the PRAC, the CHMP and the CMDh.
  c. The **assessment** by providing access, query and download functionalities of PSURs and PSUR assessment reports to authorised users of NCAs and the EMA, the Commission, the PRAC, the CHMP and the CMDh.
- As per the Article 107b paragraph 1 and Article 28(2) regulation 726/2004) all PSUR procedures shall be submitted **electronically**.

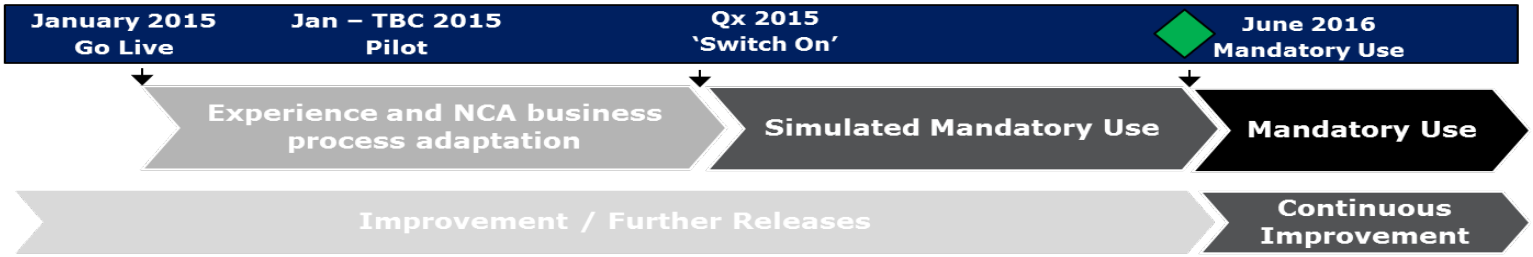
PSUR Repository project

- EMA has worked together with the NCAs and **industry representatives** to define the business requirements for the system
- User acceptance testing together with NCAs and **Industry** in November 2014
- Very little change to the MAH who have already been using the eSubmission Gateway/Web Client – continued use of existing eSubmission Gateway/Web Client with simplified zip package filename and new XML delivery file

Phased approach to PSUR Repository implementation

The phased approach will be as follows:

- Go-live (26 January 2015). Repository is available for all PSUR submissions.
- Pilot (26 January 2015 – TBC in April/May 2015 with network)
- Switch-on (as of agreed date – mandatory use June 2016)



Pilot stages (1)

The pilot will have two stages:

Stage 1: For the initial pilot on the EU single assessment procedure coordinated by the Agency, **PSUSA containing CAPs only are targeted**, as the Agency has a full oversight of their MAHs. CAP MAHs who have an upcoming PSUR submission deadline between **26.1.2015 and 11.3.2015** have been contacted and invited to take part in a pilot.

- All PSURs for any products that are not included in the pilot may be submitted to the repository at any time from 26 January 2015.
- The pilot means that the Rapporteur/Member States are using the repository for the assessment activities.

Pilot stages (2)

Stage 2: As requested by the network, the pilot is being extended past March 2015, **including both CAP and NAP procedures (PSUSA CAP / NAP and NAP / NAP)** under the EU single assessment. This second phase of the pilot will continue until the system is switched on.

In this stage, PSURs that have been submitted to the repository will be included in the pilot, pending agreement from the Rapporteur / lead member state.

→ We would like to encourage as many MAHs as possible to start submitting to the PSUR repository for all submissions as of 12 March 2015!

Electronic Submissions Gateway Process – *What to do in order to use the gateway for PSUR submissions*

- Determine the preferred route i.e. AS2/Gateway or eSubmission Web Client
- Use previously required file naming conventions or note advice on new simplified file names as per Annex 3 for PSUR submissions when uploading zip files
- Create a PSUR Repository **XML delivery file** and **insert inside** the zip package
- There is no change in the submission rules. CAP PSURs should be presented in a new eCTD sequence in the respective eCTD lifecycle of the concerned product.
- To note: for CAPs the use of eCTD format and submission via the eSubmission Gateway/Web Client is mandatory. Submission to the PSUR Repository using the XML delivery is strongly recommended.
- To note: Until the use of the repository is mandatory the MAH **must** continue submitting as per existing submission rules (CAP and NAP dossier requirements).

How to name the zip package

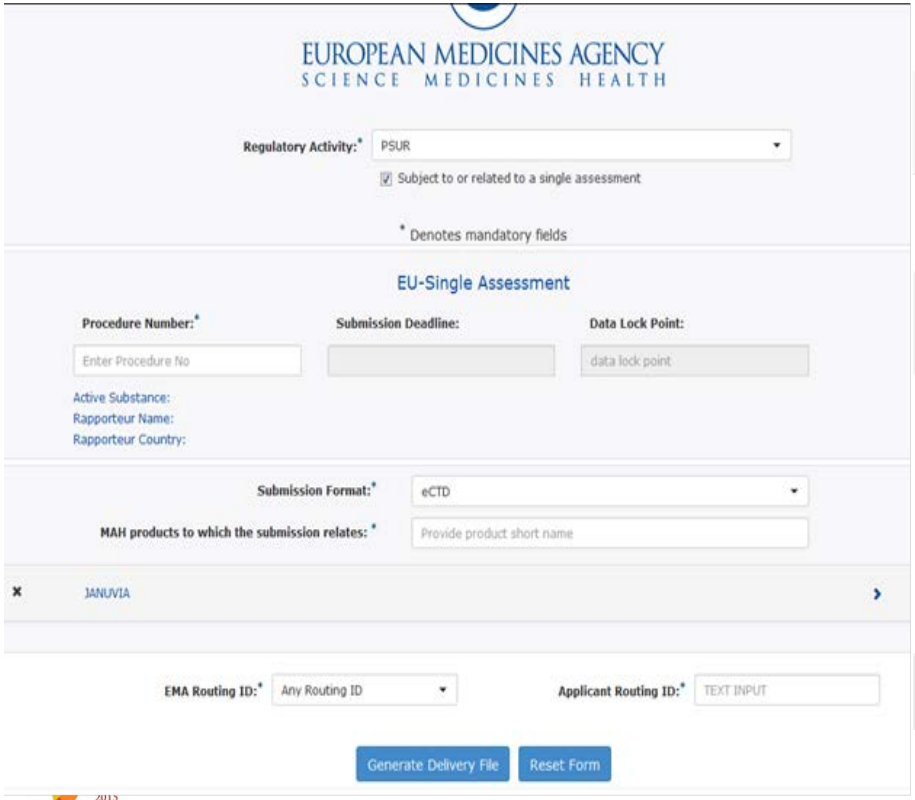
- Submission **metadata is provided via XML delivery file**, however package should have a **meaningful** name (for archiving purposes)
- File names **will not be validated** for **PSUR repository** submissions via the Gateway
- Suggested file name examples (as per Annex 3):
  - **CAPs**: HC000999_Wonderpill_0020.zip
  - **NAPs included in PSUSA**: Companyname_00000000_YYYYMM_0020.zip
  - **Single, pure NAP**: MemberState_YYYYMM_ActiveSubstance_0020.zip
- There is no requirement for underscores or spaces.
- The 8 digit unique (PSUSA) number shown as 00000000 in the above examples and the -YYYYMM- format Data Lock Point, can be found in the published EURD list)
- Folders inside the zip containing submissions (e.g. Sequence 0001, 0002 etc.) should follow the eCTD or NeeS guidelines.

How to create a delivery file

Examples:

- If a submission contains **more than one product** and these are managed in **eCTD** format, then a new **delivery file** and a separate submission is required for each product.
- Example 1: the PSUR relates to Product A and Product B both managed using an eCTD product lifecycle. A **separate** submission is required for each product and **different** delivery file needs to be attached for each submission.
- Example 2: the PSUR relates to Product C and Product D. The product C is managed using eCTD and product D is maintained using NeeS lifecycle. It is not possible to combine the submission for these products and each will need to be submitted with the relevant delivery file.

Create delivery file screen (1/10)



Section One

Section Two

Section Three

Section Four

The screen is divided into four sections:
The user will be required to complete each field in each section.

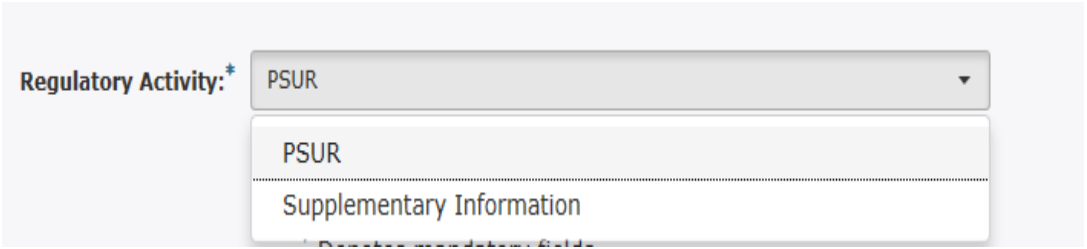
Section 1: Regulatory activity and type of assessment

Section 2: Details of the assessment procedure

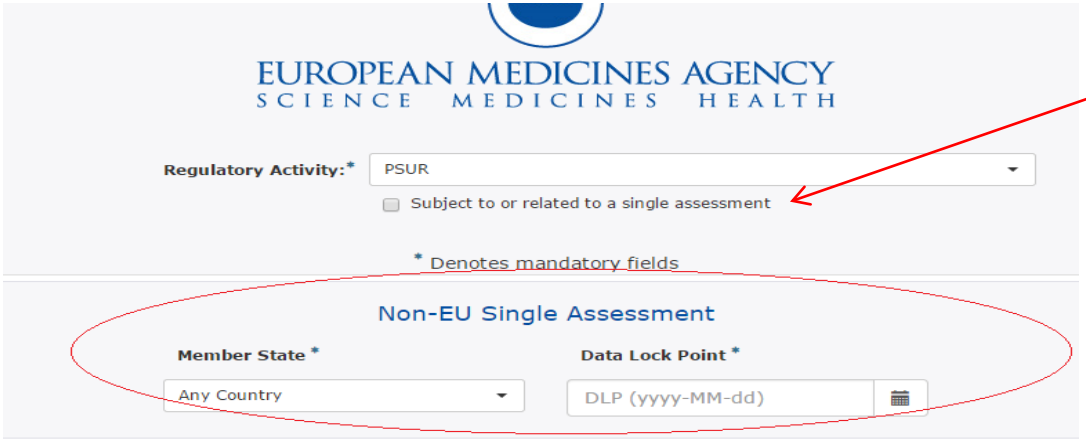
Section 3: Submission format and Product selection

Section 4: Routing information

Create delivery file screen (2/10)

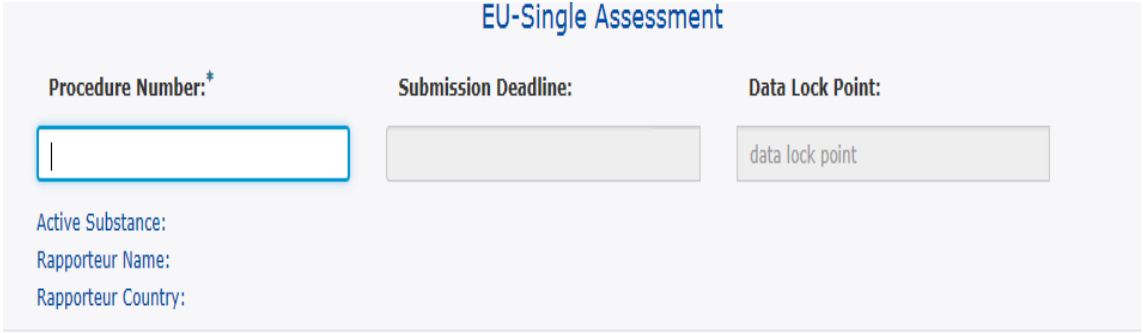


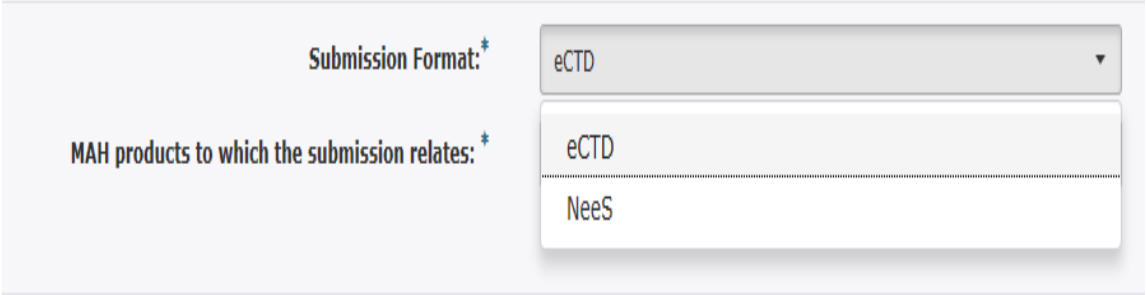
Select the correct Regulatory activity (PSUR or Supplementary information).



Confirm the type of assessment; when checkbox is cleared the screen will change to allow the user to fill in the Member State and DLP for the local country's assessment

Create delivery file screen (3/10)

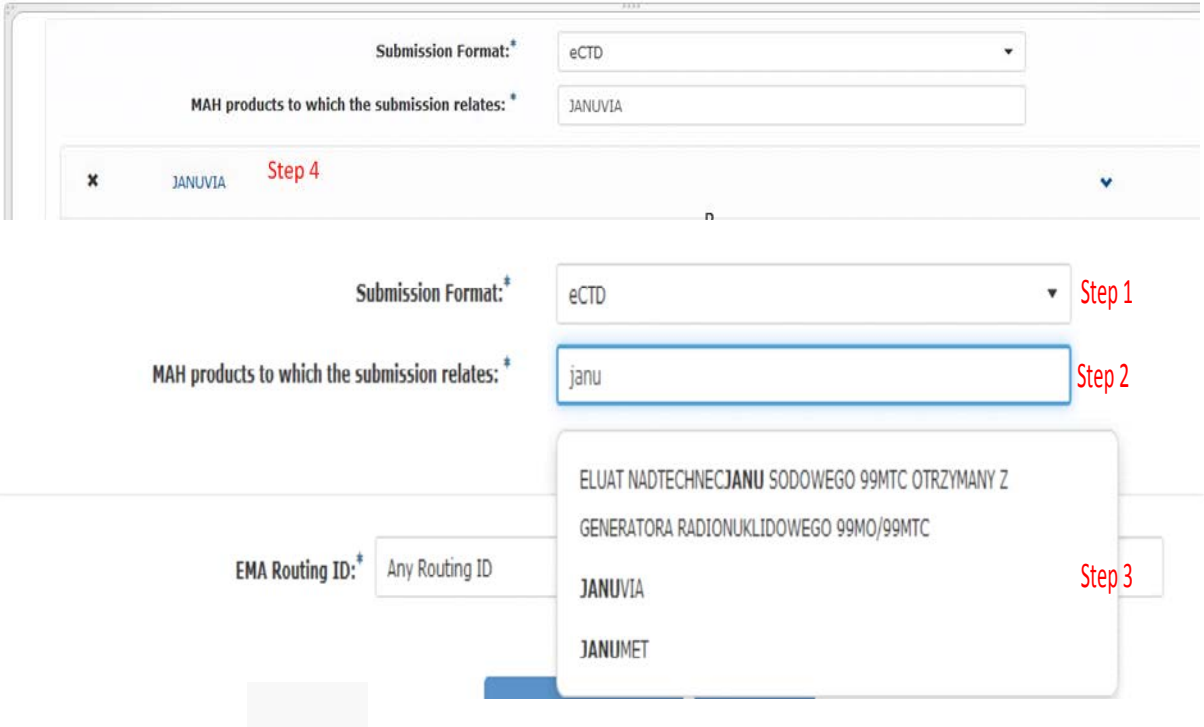




Type in minimum of 4 characters of the procedure number, the field will filter as soon as you type. Select the correct procedure. Submission deadline and DLP fields are automatically filled reflecting the EURD list information and are provided for visual confirmation only. It is not possible to select procedure past its submission deadline.

Select the correct submission format (eCTD or NeeS)
If the PSUR covers both, you will need to create 2 separate delivery files and attach them to 2 separate submission packages. It is not possible to bundle or combine multiple submissions.

Create delivery file screen (4/10)

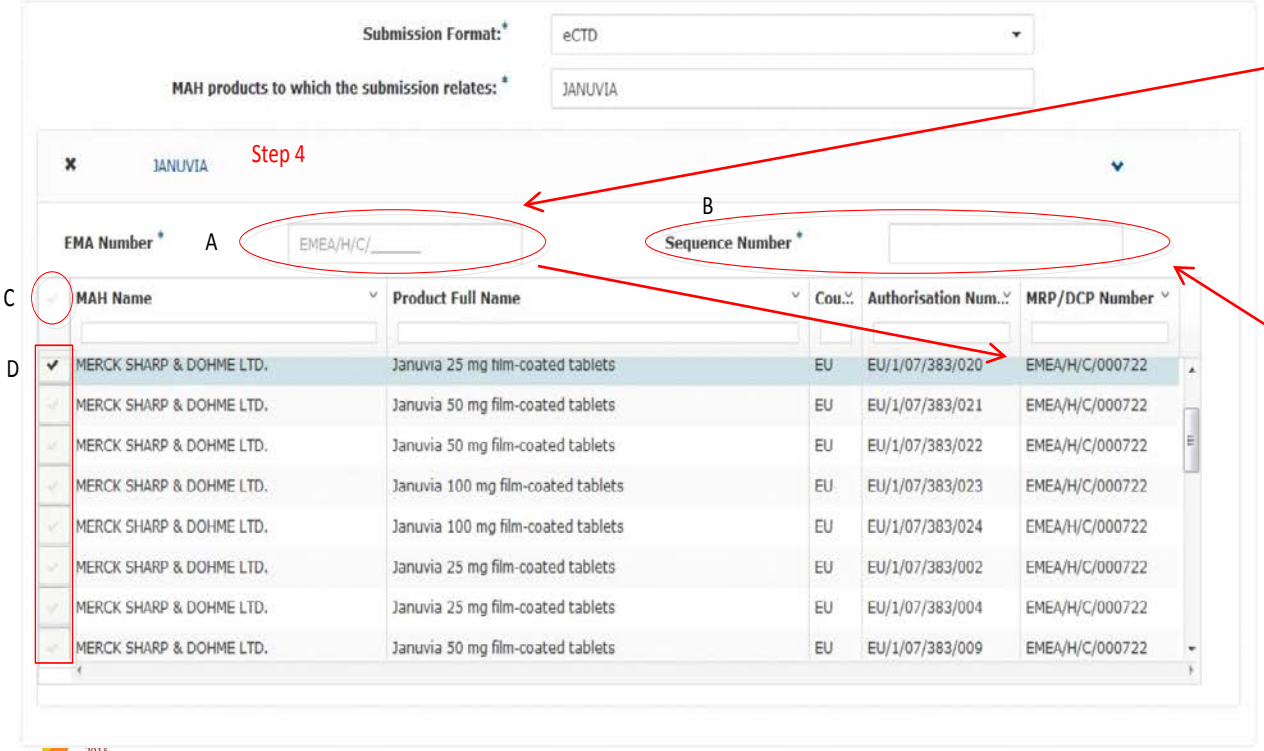


Select the correct submission format (eCTD or NeeS)

Type in minimum of 4 characters from the product name for which you are submitting and select the relevant product from the list

Click on the product name shown (or anywhere in the product row) to show the list of full product names at the presentation level. Select the correct products/presentations for which you are submitting the PSUR for. The list can be hidden by clicking the name of the product again.

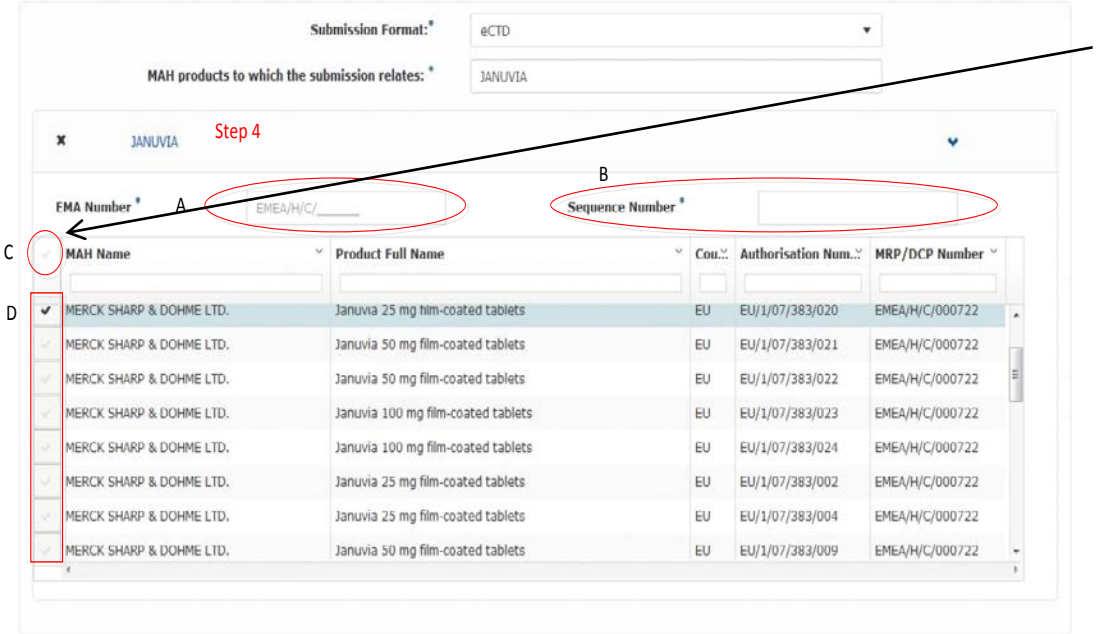
Create delivery file screen (5/10)



All centrally authorised products (CAPs) have an “H/C” number in the format EMEA/H/C/123456. This must be provided in the field labelled as “EMA Number” and indicated by the label “A” here. This number is normally displayed in the field “MRP/DCP Number”.

Provide the sequence number (indicated by the label “B”. For eCTD submissions this is the next available sequence number in the product lifecycle. For NeeS submissions if applicable the lifecycle should be followed. A sequence number must be always provided also for NeeS submissions. If not normally used, enter 0000.

Create delivery file screen (6/10)

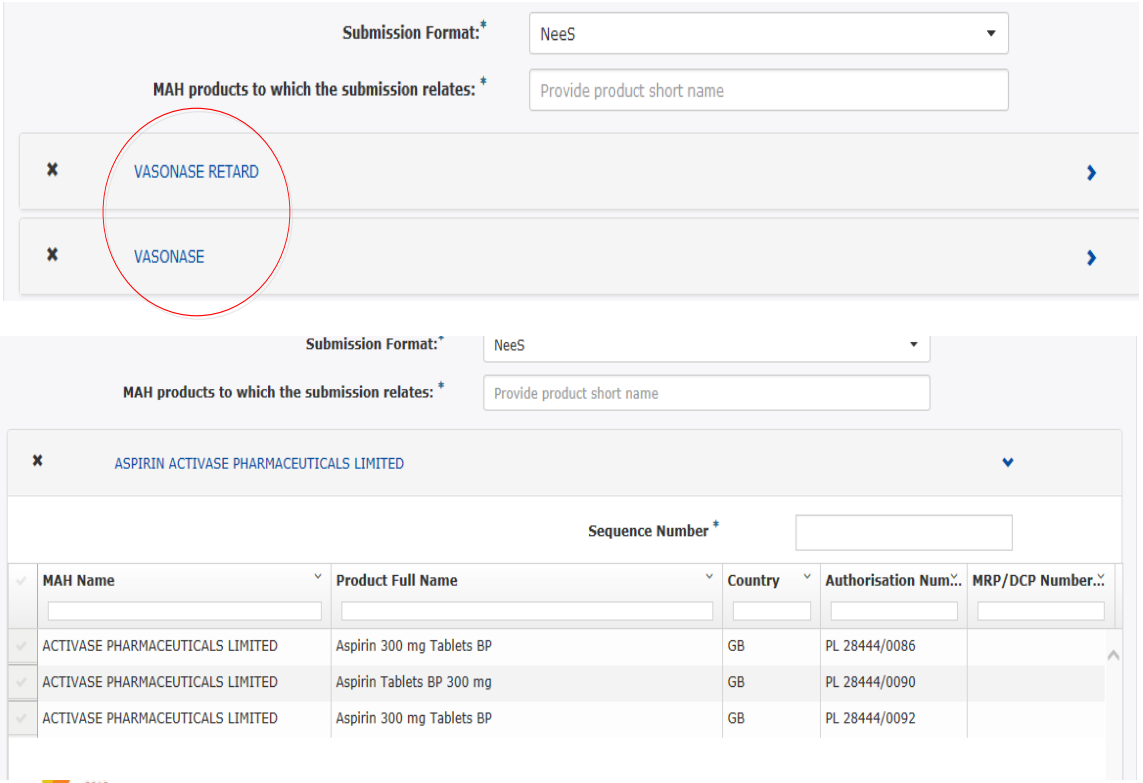


Select one or more of the products/presentations that are listed in the PSUR document being submitted. The user can select all the products/presentations by clicking beside the MAH Name (indicated by label “C” in the picture below) or they can select individual products by clicking individual rows (indicated by label “D” in the picture below).

For eCTD submissions only one product - in the product short name level - can be selected.

It is not possible to add NeeS submissions for eCTD delivery file. Separate delivery file and separate submission must be prepared. Bundling/grouping of eCTD and NeeS submissions is not allowed.

Create delivery file screen (7/10)

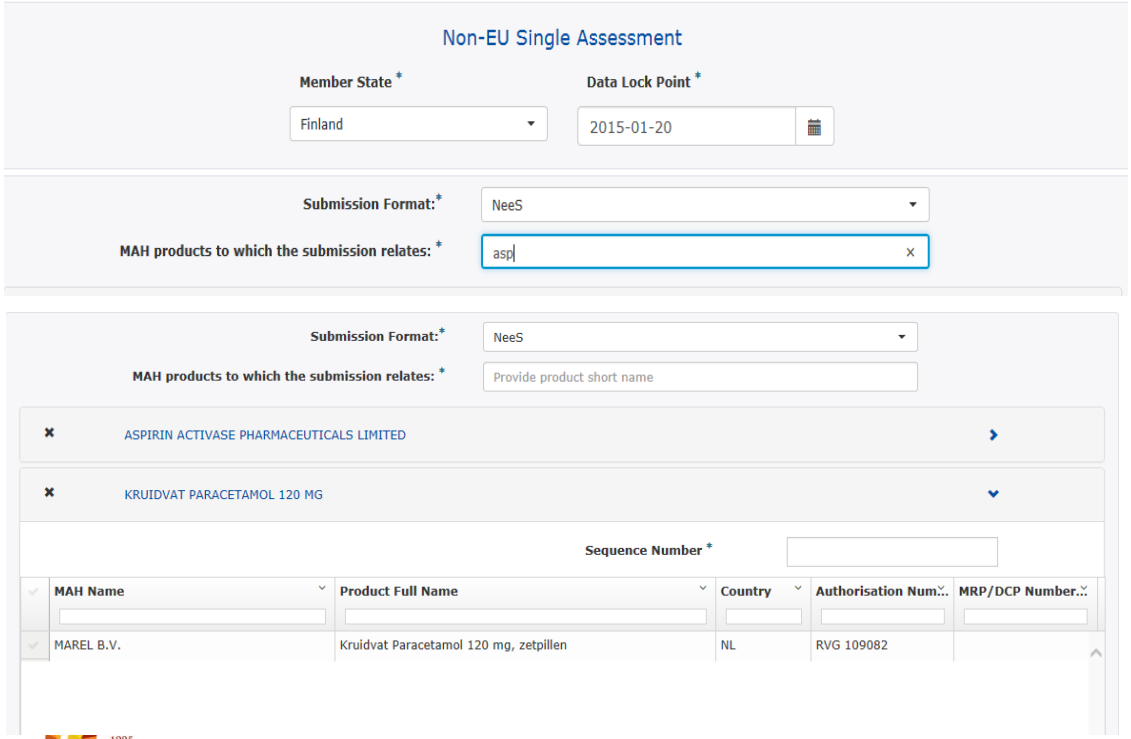


If submission type is NeeS, you are able to repeat the step to add multiple products on the product short name level.

Click on the product name shown (or anywhere in the product row) to show the list of full product names at the presentation level. The list can be hidden by clicking the name of the product again.

Select the correct product(s)/presentations, a visual confirmation will be provided in the fields Authorisation number and MRP/DCP number if relevant.

Create delivery file screen (8/10)

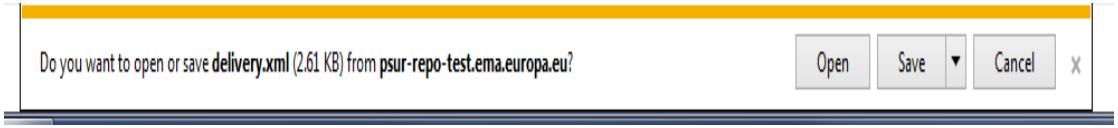


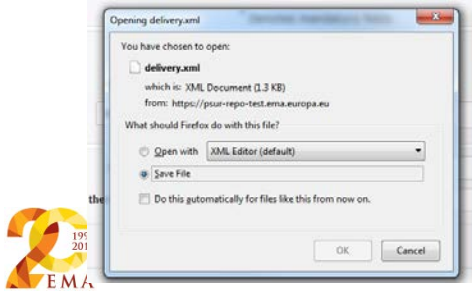
If the PSUR submission is for a product which is authorised in one Member State only, select the correct MS from the list and enter the correct data lock point manually.

For eCTD, only one product can be selected.
In case of NeeS submissions, you can repeat the step to add multiple products if these have the same DLP.

If you have made a mistake, click the cross on the left hand side and the product is removed.

Create delivery file screen (9/10)



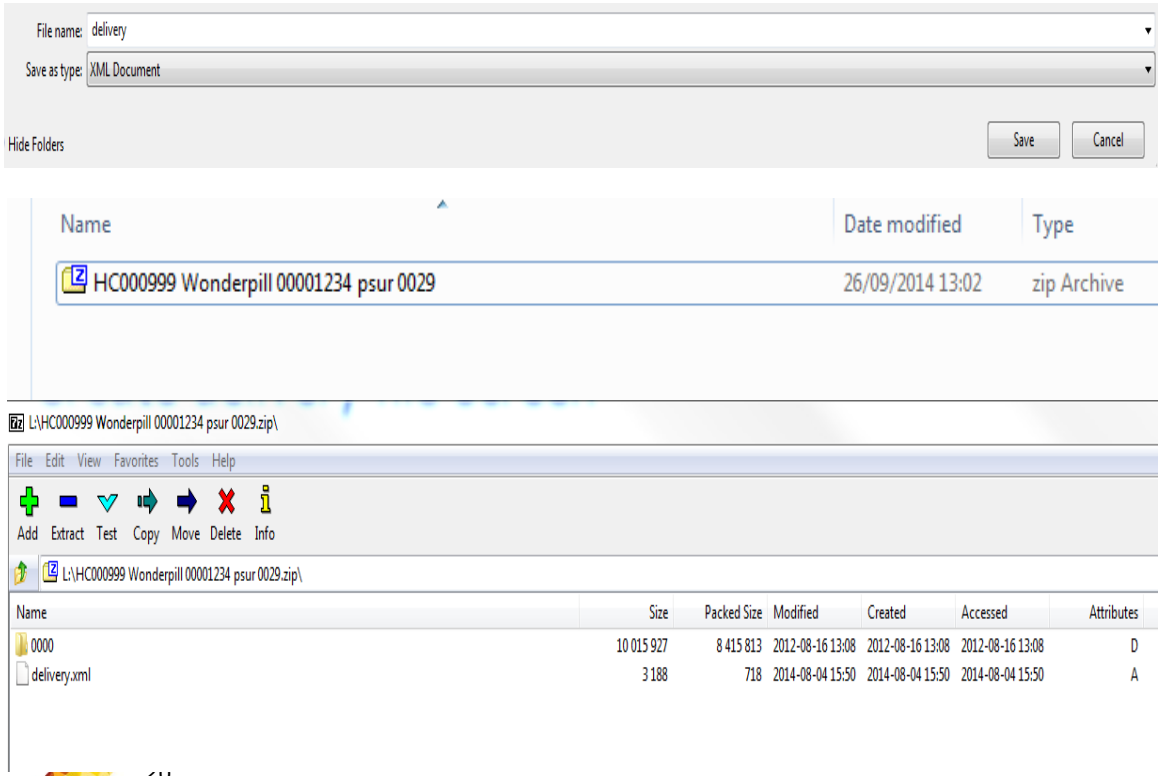


Enter the correct routing IDs. EMA routing ID can be selected from dropdown menu. The applicant routing ID is found from the Gateway registration documents.

Click ‘Generate Delivery File’ button or if you have made a mistake, ‘Reset Form’.

Depending on the browser, the saving options differ, always select ‘save as’ or ‘save file’.

Create delivery file screen (10/10)



Select a location where you wish to save the delivery file and click save.

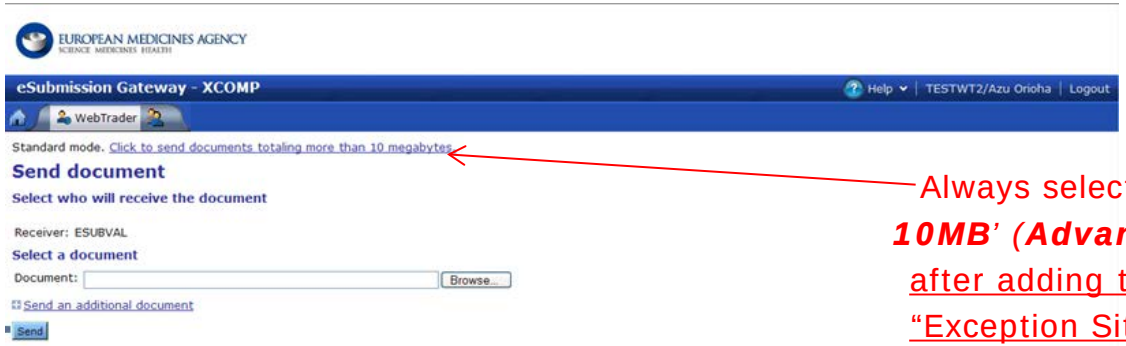
The delivery file should be called '**delivery.xml**'. Do not rename the delivery file.

Select your PSUR submission zip package (see proposed naming), open the package and place the **'delivery. xml'** file in the package.

Folders inside the zip containing submissions (e.g. Sequence 0001, 0002 etc.) should follow the eCTD or NeeS guidelines.

Submission using the Web Client

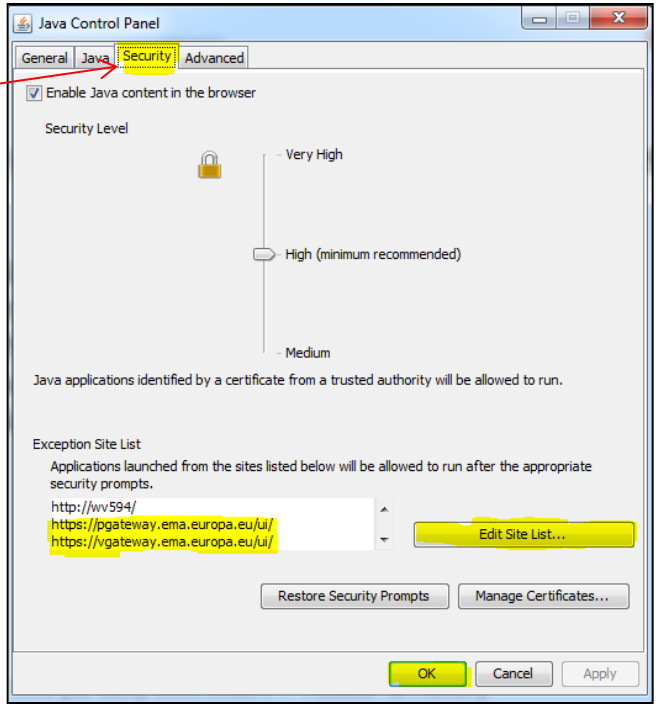
1. Ensure you are using the correct version of Java (version 1.5.0.15 or higher)
2. Ensure you have given a meaningful name to the zip package (refer to Annex 3)
3. Ensure you have created a XML delivery file and inserted it inside the zip package
4. Logon with the credentials supplied in communication from the registration team

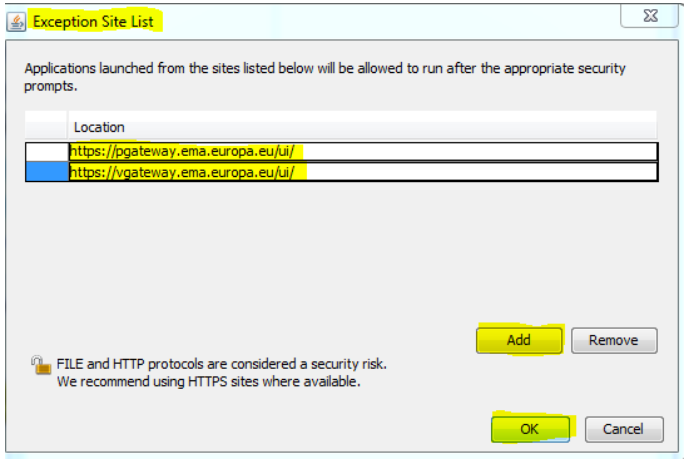


Always select the '***Send documents more than 10MB***' (***Advanced Mode***). This link will appear only after adding the eSubmission gateway URLs in the "Exception Site List" in Java Console (refer to next slide). Note that Acknowledgements are delivered only when you use the Advanced Mode.

To use the Webclient, **Add eSubmission Gateway Sites to Java**

1. Go to **Start Menu** and click on **Control Panel**
2. Click on **Java**
3. Go to the **Security tab**
4. Click the '**Edit Site List**…'button
5. Add following 2 URLs in the "**Exception Site List**":
   - https://pgateway.ema.europa.eu/ui/
   - https://vgateway.ema.europa.eu/ui/





Common issues

- eCTD Technical Validation identifies and rates the severity of the errors (Pass/Fail checks against the eCTD criteria) encountered in a typical eCTD submission, *results are indicated in Final Acknowledgement message as "SUCCESS or FAILURE".*
- The eCTD validation criteria for these are available here: http://esubmission.ema.europa.eu/tiges/cmbdocumentation.html
- Duplicate Submission
- If an already existing sequence (in EMA database) has been modified and sent to the agency as replacement
- Incorrect Submission structure (4 digit folder not at the root of submission package)

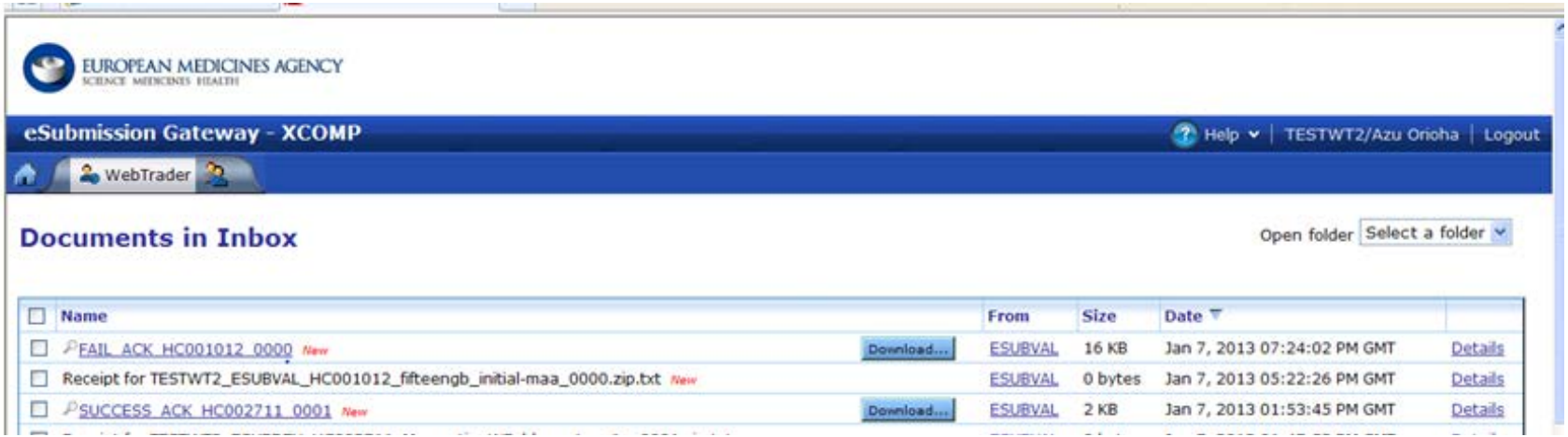
Key points during the Web Client transmission (1/2)

There are two automated messages sent during the transmission, receipt and acknowledgement:

- Always use the “Advanced Mode” for all transmissions via the Web Client, also for submissions smaller than 10MB
- The **Receipt** is sent once the submission has been successfully received by the EMA Gateway Web Client. It is a simple text file with reception timestamp and is merely a receipt - this does not indicate a successful technical validation. To note Receipt is sent only when using the “Advanced Mode”.
- 3.The final **“Acknowledgement” is an xml file** sent after the system has completed the technical validation of the submission. It contains the result of the validation (SUCCESS or FAILURE). In case of a failure, a detailed description of the error is included in it.
- Depending on the submission size and Web Client Gateway queue, both automated messages can take anything between 5 mins ~ 24 hours for the delivery back to sender.

Key points during the Web Client transmission (2/2)

- All submissions should be archived as a zip file. The compressed application file must comply with the ZIP open format.
- Sender's Inbox view showing Acknowledgement and Receipt:

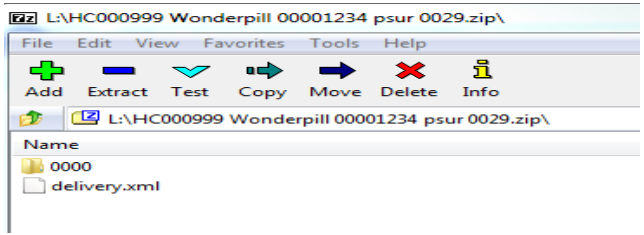


Acknowledgement Example

```
<Header>
    <type>eSubmissions</type>
    <version>3.1.0</version>
    <senderId>ESUBTEST</senderId>
    <receiverId>TESTWT2</receiverId>
    <dateFormat>yyyy-MM-dd'T'HH:mm:ss.SSSZ</dateFormat>
    <date>2015-01-12T17:25:39.977+0000</date>
</Header>
<ProcessReport>
    <originalMessageData>
        <sender_routing_id>TESTWT2</sender_routing_id>
        <receiver_routing_id>ESUBTEST</receiver_routing_id>
        <original_file_name>eCTD_PSUR_0029.zip</original_file_name>
        <ema_product_number>002778</ema_product_number>
        <product_name>INFLECTRA</product_name>
        <submission_type>psusa</submission_type>
        <sequence_number>0029</sequence_number>
        <eurd_id>00010123</eurd_id>
        <substanceName>paclitaxel albumin</substanceName>
        <data_lock_point>201411</data_lock_point>
        <markething_authorisation_holder>HOSPIRA UK LTD</markething_authorisation_holder>
        <marketing_authorisation_country>EU</marketing_authorisation_country>
    </originalMessageData>
    <result>
        <result>SUCCESS</result>
    </result>
    <validation-result>
        <result>SUCCESS</result>
        <validation_set>Autodetect the DTD - EU v3.1</validation_set>
    </validation-result>
</ProcessReport>
eSubmissionAckMessage>
```

How to avoid problems (1/2)

- Incorrect folder structure used in Zipped file sent to EMA. Always ensure that Sequence Number (0xxx) folder is at the root, as reflected below:



- Submissions should be compressed before transmission as a zip file.
- The compressed application file must comply with the ZIP open format.
- **Duplicate submissions**
  - Gateway and the Web Client only process the first submission, not the duplicates.
  - If the first submission was in error, contact eCTD support team at ectd@ema.europa.eu

How to avoid problems (2/2)

- Only one package and delivery file should be included per zip file
- Do not add NeeS submissions inside eCTD zip file or on the same delivery file
- Do not add eCTD submission inside NeeS zip file or on the same delivery file
- If you cannot find your product from the dropdown menu, check the entry in Art. 57 database and add/edit Art. 57 database
- If you see errors in the product information/name/numbers log in to Art. 57 to make changes/updates
- Do not rename the delivery file (unless you accidentally saved twice and it's called delivery(2).xml), only rename to delivery.xml

Support and guidance

PSUR Repository:
http://esubmission.ema.europa.eu/psur/psur_repository.html

eSubmission Gateway and Web Client:

http://esubmission.ema.europa.eu/esubmission.html

- User documents
- Multimedia tutorials
- Training dates
- Who to contact

User Documents

PSUR Repository user registration form for NCA users	Repository user registration
MAH PSUR Repository User Guidance document	MAH user guide
NCA PSUR Repository User Guidance document	NCA user guide
PSUR Repository FAQ document	Questions and answers
Examples of simplified filenames for PSUR submissions	Annex 3
How to submit to PSUR	Presentation
Repository – pilot training for MAH	
Release Notes	Release notes V 01.00.00

Multimedia Tutorial

How to submit to PSUR Repository – pilot training for MAH	Multimedia webinar

Training Dates

PSUR Repository training for existing Gateway users	10th February 2015 at 11.00-12.30. Confirm participation in the Webinar training by Thursday 5th of February close of business to PSURrepository@ema.europa.eu
Pilot training for NCA users	10th of February 2015 at 09.00-10.30. Confirm participation in the Webinar training by Thursday 5th of February close of business to PSURrepository@ema.europa.eu
PSUR Repository training for new Gateway users	12th February 2015 at 09.00-10.30. Confirm participation in the Webinar training by Friday 6th of February close of business to PSURrepository@ema.europa.eu

Who to contact

MAH Gateway user registration	GatewaySupport@ema.europa.eu
NCA User registration	ITservicedesk@ema.europa.eu
Gateway submission related technical issues	eSubmission@ema.europa.eu
PSUR Repository training, user guide or Q&A document related question or any other query related to the PSUR Repository or the pilot	PSURrepository@ema.europa.eu
PSUR procedural questions for the EU Single Assessment coordinated by the Agency. 1	PSUR procedural guidance Q&A

1.Please note that procedural questions on non-EU single assessment procedures conducted only in one Member State must be addressed to the relevant National Competent Authority.

Regular bulletins

- Network
- Industry (summary)

PSUR Repository bulletin

Week commencing 02 February 2015

- List of initial pilot procedures (CAPs only) to start in February has been agreed and will be presented during the February PRAC meeting.
- MAHs for March pilot procedure starts have been contacted to encourage and agree on use of the repository during the pilot phase.
- Planning of the extended pilot phase which will begin in May, and will include nationally authorised products, has commenced.
- PSUR Repository audit ongoing.

Action items and reminders

- Pilot training for NCA users - 10 February 2015
- PSUR Repository training for existing Gateway users - 10 February 2015
- PSUR Repository training for new Gateway users - 12 February 2015

Kind regards,

The PSUR Repository Team

European Medicines Agency
30 Churchill Place | Canary Wharf | London E14 5EU | United Kingdom
PSURRepository@ema.europa.eu
http://esubmission.ema.europa.eu/psur/psur_repository.html

PSUR Repository Support

- PSUR Repository related queries: **PSURRepository@ema.europa.eu**
- Procedure related queries (prior to Procedure Manager allocation): **PSURquery@ema.europa.eu**
- Technical validation issues (e.g. ‘Failure’ Acknowledgements): **ectd@ema.europa.eu**

Contact information and useful links

- ***Gateway Registration Documentation*** (contact info, forms, guidance documents): http://esubmission.ema.europa.eu/esubmission.html
- ***Gateway Registration team:*** esubregistration@ema.europa.eu
- ***Technical issues during webclient set-up:*** gatewaysupport@ema.europa.eu
- ***Technical validation issues*** (e.g. 'Failure' Acknowledgements): ectd@ema.europa.eu
- ***TIGes Guidance on eCTD & NeeS:*** http://esubmission.ema.europa.eu/tiges/cmbdocumentation.html
- ***EURD LIST:*** http://www.ema.europa.eu/docs/en_GB/document_library/Other/2012/10/WC500133157.pdf
- ***Dossier Requirements for CAPs:*** http://www.ema.europa.eu/docs/en_GB/document_library/Regulatory_and_procedural_guideline/2009/10/WC500003980.pdf
- ***Dossier Requirements for NAPs:*** http://www.hma.eu/314.html
- ***Procedural guidance on PSURs:*** http://www.ema.europa.eu/ema/index.jsp?curl=pages/regulation/q_and_a/q_and_a_detail_000041.jsp&mid=WC0b01ac0580023e7d

Thank you for your attention

Further information

psurrepository@ema.europa.eu

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