Electronic Common Technical Document (eCTD) v4.0
EU Module 1 Implementation Guide
Draft for Testing

Version 1.0
30. June .2012

DOCUMENT CHANGE HISTORY

Version	Date	Comments
0.1	6th Jan. 2012	First draft based on ICH IG v3.1 deleting all M2 to 5 specifics and adding all EU M1 details, e.g. controlled vocabularies and content from the current EU M1 specification as far as possible, except updating all XML snippets and XML elements tables.
0.2	16th Jan 2012	Update based on ICH IG v4.0
0.3	15th Feb 2012	Update based on ICG IG v5.0, correction of CV on EU Application Type, EU Contact Party, EU Regulatory Status, deletion of non EU specific information on life cycle management
0.4	22nd Feb 2012	Deleting all doubled XML tables but referencing to ICH IG. Note: XML tables are frequently copied and not yet checked for consistency.
0.5	1st Mar 2012	Update covering M8 TC 29 Feb 2012, comments from Andreas Franken
0.6	2nd March 2012	Replace of most of the XML snippets by  *Note: Examples for XML snippets will be provided in one of the future versions*
0.7	15th April 2012	Incorporate comments from vendors and adjusting text according ICH IG v6.0. A number of XML snippets have been added. Business scenarios in new section 9.2
0.8	30th April 2012	Incorporate changes based on ICH IG v7.0, add more XML samples and outline missing business scenarios, add new section on message created by regulators, re-numbering of sections as appropriate.
0.81	18th May 2012	Layout and editorial changes, deletion of duplications, consistency improvement
0.82	10th June 2012	Editorial changes, including confirmations after TIGes Meeting 25.05.2012, incorporate changes based on Draft ICH IG for Testing v 1.0, clarification on sequence number use
1.0	30th June 2012	Release for public consultation and testing purpose

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NOTICE TO READER

Sections of this document referencing the HL7 Version 3 Standard: Regulated Product Submission Release 2 Draft Standard for Trial Use 2 are used with the publisher's permission. These sections are copyrighted by Health Level Seven International ® ALL RIGHTS RESERVED

INSTRUCTIONS TO READER

This is a technical document that provides instructions on how to implement the eCTD v4.0 specification in the European Union. The following content will be provided in a consistent manner within the document and/or the reader may be prompted by visual cues about the context or referenced information being presented in the document.
This document needs to be read in conjunction with the ICH Implementation Guide on electronic Common Technical Document Version 4.0.

DOCUMENT CONTENT

In the document there are several notations that are used to provide clarity to the subject matter and will help readers to quickly identify information they are looking for. The first is the use of XML components (e.g. elements and attributes) versus the concept that it represents. The text will take the following notation:

- XML components
  - In narrative text, it will be Bold, Italicized text in Camel case, e.g., ***contextOfUse***
  - In XML, it will be as notated below for the XML Snippets.
- Concept without attribution to the model or message
  - Plain text with first letter capitalized as it is a defined concept, e.g., Context of Use

In the text some helpful icons will point readers in the direction of useful information. The following table provides visual cues that are used in the document.

Table 1: Legend of Symbols used in Document

Icon	Description
	Technical descriptions
	Items to be careful to follow
	Additional Instructions
	References to other documents

XML Snippets

The following figure indicates the colour coding used in the XML snippets and any meaning that should be inferred by the samples.

Table 2: Legend for XML Snippets

Text Colour	Description Sample
Teal	Indicates the schema components *<?xml version "1.0" encoding="="UTF-8"?>*
Blue	Indicates the XML notations < ….= ""><"" >
Brown	Indicates the XML element *id* *code*
Red	Indicates the XML attribute *root* *extension*
Black	Indicates the value of the attribute *2.16.840.1.113883*

The following rules were used in the development of the XML samples:

- If an element only has a value, the value attribute was not used, but instead the value was provided between the element tags (e.g., <title>Title Label</title>)
- The notation of <!....notes….-- > was used to describe conditions that should be met for an element
- The notation … [Description] … was used to indicate when there were additional elements not represented in the XML, but may be present in the actual XML message.

Note: XML editors may display these XML components differently, please use the legend above for XML presented in this document.

XML Elements Tables

A table has been provided for each element in the XML message. When elements have multiple element parts or attributes, they are provided in one table. When there are no attributes or values for an element, the cell is grayed out to indicate that no value is required in the XML message.

Table 3: Sample XML Element Table

Table Name: <element>.<element 2>

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Conformance				
Business Rules				
Excluded Elements and Attributes				

Table Name: Each table is named for the elements it is representing in the XML – i.e., <element>.<element 2>. For example, the Application element has an element for the identifier, it would be represented as: ***Application.id***

Element: Identifies the XML element

Attribute: Identifies the XML attribute

Cardinality: Provides information on how many times the element/attribute can be repeated in the XML message.

Value(s) Allowed/Examples: Identifies the values allowed using simple data types and any associated examples. References to controlled vocabulary will also be provided.

Description/Instructions: Provides a description of the element or attribute

Conformance: Identifies the validation requirements (e.g., XML Elements or attributes) and/or conditions that need to be met by the element

Business Rules: Identifies any business rules specifically relevant for Regional/Module1 Implementation or references to ICG Implementation Guide in case of harmonized business rules.

Excluded Elements and/or Attributes: Identifies elements and/or attributes that are part of the HL7 Regulated Product Submission standard that do not pertain to the eCTD v4.0 Implementation.

1. PURPOSE

This document serves as the implementation guide and a technical specification for the Electronic Common Technical Document (eCTD) v4.0 regional EU Module 1 using the Regulated Product Submission (RPS) Release 2, Draft Standard for Trial Use (DSTU)[1]. In addition, information will be included to assist in the requirements for system development for publishing or displaying eCTD compliant messages for the recipients of the information.

Note to Implementers: This implementation guide will need to be used in conjunction with the ICH Implementation Guide, as the eCTD v4.0 message will be incomplete without all of the contents.

1.1 Scope

This document only includes eCTD v4.0 Module 1 of the eCTD XML message including the Regional Administrative and Product Information which is specifically for EU purposes. The content of eCTD v4.0 Modules 2 - 5, which is shared across regions, is not included in this implementation guide although some principles need to be repeated otherwise understanding is not guaranteed. This document should be read together with the ICH Implementation Guide to prepare a valid eCTD submission in the EU.

This standard defines the message for exchanging regulatory submission information electronically between Regulatory Authorities and the Pharmaceutical Industry. The XML message provides the ability to describe the contents of the regulatory exchange and all information needed to process the exchange between these two parties.

The initial scope of this document is specifically for Step 2 for Testing. As testing is conducted and the standard evolves, the information in this guide will need to be updated.

1.2 Business Case

Regulated Industry and Regulatory Authorities exchange information to address a variety of regulatory processes. The scope of the ICH activities covers the human pharmaceutical product marketing approval processes. The eCTD format is regarded as the principal electronic submission format in the EU and is the only electronic format that is accepted by the European Medicines Agency (hereafter referred to as EMA) and also widely accepted by the National Competent Authorities (hereafter referred to as NCAs). Frequently, when new information is provided, it directly relates to information previously submitted. Because information is submitted over time, usually in increments, it is difficult to efficiently process and review new information

[1] For the Feasibility Step 2 Testing version of this document, HL7 Regulated Product Submission (RPS) Release 2 (R2) is being balloted as a Draft Standard for Trial Use. Once HL7 RPS R2 becomes Normative, the standard will go through the ISO process to become an ISO standard. It is expected that by the official final release of this document that an ISO standard will be referenced.

in light of pre-existing information. To provide improvement is one of the goals of the upgrade to eCTD v4.0. Further details are outlined in the ICH Implementation Guide and will not be repeated here.

2. BACKGROUND

The use of an international information exchange standard is needed in the regulatory environment to ensure that mandates can be issued and standardization enabled for increased consistency across the regulatory authorities with respect to the exchange of regulatory information.

As the eCTD is regarded as the principal electronic submission format in the EU, EMA and more and more national Competent Authorities developed and improved their internal workflows and review procedures on electronic submissions of marketing authorization applications. With the previous specification pharmaceutical industry and competent authorities gained a lot of experiences and many applications have been submitted in eCTD format already.

The goal of the upgrade to eCTD v4.0 is to facilitate the processing and review of electronic regulatory submissions as outlined in more detail in the ICH Implementation Guide.

3. CHANGE CONTROL RULES

eCTD v4.0 is based on the HL7 Regulated Product Submission Standard (RPS), which was developed in the external Standards Development Organization (SDO), Health Level Seven International (HL7) and various stakeholders, including members of ICH M8 and EU representatives amongst them. Changes to the eCTD v4.0 Implementation Guide and ICH Controlled Vocabularies will remain the responsibility of the ICH M8 Expert Working Group (EWG) and will follow the established eCTD change control process. Changes that require modifications to the standard will follow established change control processes[2]. More detailed information is provided in the ICH Implementation Guide. Change requests which concern the regional part only will be handled separately as outlined below.

The EU Module 1 Implementation Guide is likely to change over time. Factors that could affect the content of the document include, but are not limited to:

- Change in the content of the Module 1 for the CTD, either through the amendment of information, at the same level of detail, or by provision of more detailed definition of content and structure
- Change to the regional requirements for applications that are outside the scope of the CTD
- Update of standards that are already in use within the eCTD
- Identification of new standards that provide additional value for the creation and/or usage of the eCTD

[2] This version of the Implementation Guide references the existing standard, RPS and its change control processes. When an ISO standard is available, this section of the document will need to be revisited

- Identification of new functional requirements
- Experience of use of the eCTD by all parties, in particular of Module 1.

Details of the change control process are described in a separate EU document and provide an Electronic Submission Change Request/Q&A Form, use the following link: http://esubmission.ema.europa.eu/doc/index.html.

4. ESSENTIAL COMPONENTS OF THE ECTD CONSIDERING THE SPECIFIC REGIONAL EU REQUIREMENTS

This section will provide a brief overview of the essential components of the eCTD v4.0 specification. The essential components include:

- Files and Folders (see Section 4.1, Section 5 and Appendix 1)
- Controlled Vocabularies (see Section 4.2 and Section 6)
- ICH eCTD XML Schema (see Section 7)
- eCTD v4.0 XML Message (see Section 8)
- OIDS and UUIDS (see Section 4.3)
- Data Types (see Section 4.4)

The principles of creation and use of these components will be defined by

- ICH Implementation Guide across regions (separate document)
- EU Module1 Implementation Guide (this document).

Each of these components is detailed as appropriate in the subsequent sections to include specific information about the component's role in the implementation of the specification. In order to compose a complete eCTD v4.0 compliant message, the contents of this implementation guide will need to be complemented by several other documents. The focus of this document is to outline the essential components of the eCTD v4.0 which need to be used for Module 1 in the EU in addition or differently from composing Modules 2 – 5 of the CTD.

The ICH Common Technical Document ("CTD") specifies that Module 1 should contain region-specific administrative and product information. The content and numbering of Module 1 for the EU is specified in the latest version of the *Notice to Applicants* that can be found at: http://ec.europa.eu/health/documents/eudralex/vol-2/index_en.htm

The following items listed in the Notice to Applicants should be included for an initial submission:

- a cover letter,
- a comprehensive table of contents[3],

[3] TOC not required for eCTD as the XML backbone acts as a table of contents

- an application form,
- product information documents,
- information on the experts,
- specific requirements for different types of applications (if required),
- an environmental risk assessment,
- information relating to orphan market exclusivity (if required),
- information relating to pharmacovigilance,
- information relating to clinical trials (if required),
- information relating to paediatrics.

In addition, other items such as additional (nationally required) information, answers to regulatory questions, rationale for variations and renewal documentation could also be included in Module 1.

In case regulators will use the RPS message for sending the assessment reports, list of questions or list of outstanding issues to applicants these types of submission unit will also become part of Module 1.

It should be noted, that for subsequent submissions in the lifecycle of a medicinal product, e.g. for a variation, not all of the above mentioned types of documents need be included in Module 1. Consult the various legal documents for guidance on the exact documents to be submitted in such a case, e.g. Regulation (EC) No 1234/2008 for Type IA, Type IB and Type II variations.

This document describes only the region-specific information that is common to all submissions in the different Member States. However, at the same time the EU Module 1 Implementation Guide allows for country-specific information to be included in Module 1, if required. Country-specific information could relate to the details of the business process applied (e.g. specifying the number and names of those parts for which a paper copy is still requested) or other local preferences.

4.1 Files and Folder

The files (i.e., documents referenced in the XML message) will be sent in addition to the XML message. Each file will be organized in a folder according to the structure outlined for the CTD. Each ***document.text*** element within the eCTD XML message will be given a specific directory location i.e., the folders that will be used to organize the files if the document is being sent for the first time. Additional rules to handle naming conventions, length and structure are provided in Section 5.

In the EU it is expected to be able to access the RPS message based eCTD submission also without additional review tool support. As no style sheet will be provided, a human readable and basic navigation supporting folder and file naming is required (for details see Annex1).

4.2 Controlled Vocabularies

Controlled vocabularies are one of the essential components of the eCTD v4.0, which enable interoperability – i.e., clear, unambiguous communications between systems sending and receiving XML messages. For the XML components that have coded values, a controlled vocabulary will be referenced. Some of the codes are simple alphanumeric and others are based on a code system scheme for the specified code set. Either way, there should be a standard, unique identification of the concept that the code represents.

Controlled vocabularies are defined external to the message; a code is used as the identifier to convert the code value into the meaningful terms that will be used in any system that implements the viewing of the information sent in the XML message. The controlled vocabularies are outlined in Section 6 and examples are given for the XML components.

Controlled Vocabularies relevant to EU Module 1 will be provided at EUTCT, by the following link: http://eutct.ema.europa.eu/eutct/

Note to implementers: As the online access to the full set is not provided right now, implementers should use the CVs provided in a separate spreadsheet for testing purpose. For review purposes the CVs are also provided within this document for the time being.

4.3 OIDS and UUIDS

In the EU M1 part of the message the two types of unique identifiers, Object Identifiers (OIDs) and Universally Unique Identifiers (UUIDs), are handled in the same way as for Module 2 to 5.

4.4 Data Types

Data Types are another essential component of the eCTD v4.0 specification and will apply for EU M1 in the same way as for ICH M2 to 5.

4.5 Elements for regional use covered by EU M1 Implementation Guide

The user should be aware that principle rules for implementing eCTD v4.0 will be outlined in the ICH Implementation Guide in detail and not completely repeated in this regional Implementation Guide. The ICH Implementation Guide plays a key role in providing the complete information about the submission. Dossier information mainly provided in Modules 2 to 5, as such, is the subject of the ICH Implementation Guides. Therefore, the ICH Implementation Guide needs to be consulted as well.

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Note to Implementers: *The information in this regional EU M1 eCTD v4.0 Implementation Guide is necessary, but not sufficient for creating the complete XML message for transmission. .*

419

420 The required elements and business rules that are EU-specific covered by this document are as
421 follows:

422 • Application

423 o subject.ReviewProcedure

424 o reference.ApplicationReference

425 o author.Applicant

426 o informationRecipient.TerritorialAuthority

427 • Submission

428 o callBackContact.ContactParty

429 o subject.SubmissionGroup

430 o subject.RegulatoryStatus

431 o subject.RegulatoryReviewTime

432 o subject.Mode

433 • ReviewableUnit (This element will not be used for the time being.)

434 • SubmissionUnit

435 o callBackContact.ContactParty

436 • Review

437 o subject.ProductCategory

438 o subject.ManufacturedProduct

439 o holder.Applicant

440 o informationRecipient.TerritorialAuthority

441

442

443

5. SUBMISSION CONTENTS, FOLDER AND FILE STRUCTURE

The folder and file structure specified for the document contents being transmitted along with the XML message will need to follow various specifications and rules as presented below in this section.

5.1 Naming Conventions

The naming conventions for folders shall be consistent with the guidance provided in the ICH eCTD v3.2.2 folder naming convention and current EU eCTD specification v1.4.1. An exemption will be made in regard to the cc-folder requirement. eCTD v4.0 offers the opportunity to avoid this additional folder level by using keywords from the respective controlled vocabulary (see Section 6.3).

The RPS Standard allows flattening of the hierarchical folder structure. This approach will require a reviewing tool, which might be not available in some receiving agencies. Therefore, the current folder structure will be maintained temporarily. However, a light folder structure will be used for testing purpose (see Annex1).

Additional guidance for naming convention that is not specified in the sub-sections includes:

- Folder or file names should be written in lower case only.
- All files should have one and only one file extension.
- The file extension should be used to indicate the format of the file.

5.1.1 Allowable Characters

All implementations shall follow the IETF rules for Uniform Resource Locators (URLs) [for further reference Consult the IETF documentation on *Uniform Resource Identifier (URI): Generic Syntax RFC 3986* (except for period and asterisk)] for file or folder name and will apply for EU M1 in the same way as for ICH M2 to 5.

5.1.2 Length of Names and the Path

The restrictions on file or folder name lengths should follow the specifications below:

- Maximum document (i.e., file) name length: 64
- Maximum folder name length: 64
- Maximum path length including root folder: 180
    - *Note: this allows the folder structure to exist under a logical drive with high level folder that is applicable to the submitter's environment*
- File name extension = 3 or 4 characters

5.2 Top Folder Naming Requirements

To identify the content with a folder structure e.g. on a DVD or after extracting the content from a container should start on top with a folder named according to the main part of the application procedure number the regulatory activity relates to, e.g.

- **de2087** or **uk3456** in case of the MR/DC procedure DE/H/2087/001/MR or UK/H/3456/001-005/DC,
- **2131577** in case of a national (German) procedure,
- **ema000123** in case of the centralized procedure EMEA/H/C/000123 or EMEA/H/C/000123/II/14.

5.3 Second Level Folder Naming Requirements

For the second level folder name the unique identifier of the ***submissionUnit*** element should be used.

5.4 Pathname Conventions and Best Practices

The pathname convention for EU module 1 will follow the same rules as for ICH modules 2 to 5 required.

5.5 Folder Hierarchy

Following the naming and pathname conventions above, the actual physical structure of the folder hierarchy should still follow the EU eCTD v1.4.1. An example is presented in Figure 1.

Figure 1: Folder Hierarchy of Module 1 Screenshot

Note: Sub-folders within a folder should not exceed 25 folders and there should be no more than six (6) levels of folders (i.e., nesting greater than 6 levels is not acceptable) within the Second-Level Folder.
This allows a cushion before exceeding the limit of 8, as specified by ISO9660. This allows the additional folders that may be needed in the sender or receiver's file directory.[4]

* *In these folders the CC- or LL-folder is no longer needed and should therefore not be used. Note: instead, keywords need to be used for country at contextOfUse level. To specify the document type controlled terms will be introduced at document level. Language is included as attribute of the document element.*

[4] Note: For testing a light folder structure is expected which will minimize the issue entirely.

5.6 File Formats

In principle, for messages to EU agencies the file format recommendations of ICH M2 need to considered. However, in the EU M1 part of the eCTD v4.0 message, the following file formats are acceptable:

Table 4: Acceptable file formats for Module 1

Document	File Format	Remark
Cover letter	PDF	PDF preferably generated from electronic source.
Administrative forms: • Application form and its annexes • Variation application form incl. background for the variation • Renewal form and its annexes	XML*, PDF XML*, PDF XML*, PDF	Documents should be generated from electronic source documents, any signature may be embedded as a graphic file in the PDF text if desired, although this is not always necessary as the hard paper copy, if required by the receiving agency, contains the legally binding signature.
Product Information: • Product information text** • Packaging mock-ups • Reference to specimens	PDF PDF PDF	If a higher resolution is necessary for the mock-ups, use JPEG, GIF, PNG or SVG on a case-by-case basis.
Other	PDF	PDF preferably generated from electronic source.

* = In line with the general principles of the ICH eCTD Implementation Guide, it is intended that XML will eventually become the sole submission format for administrative forms (as they contain structured data and a long-term goal of this development is the normalisation of data in Module 1). Note that as XML documents become available for practical implementation (including documents other than the above), they will be introduced into Module 1 and the current file formats may ultimately be replaced (after an appropriate transition period).

** = SmPC, Package Leaflet and labelling

5.7 Checksums

The eCTD XML message will contain checksums for all ***Document.text.integrityCheck*** elements. The SHA-256 integrity check algorithm should be applied to obtain a checksum for all files referenced in a document element within a given submission unit. The purpose of the checksum is as follows:

- The integrity of each file can be verified by comparing the checksum submitted with the file and the computed checksum
- The checksum can be used to verify that the file has not been altered in the historical archive of the Regulatory Authority. This is especially useful as the files are migrated from one storage medium to another as in the case of backup to magnetic tape storage.

5.8 Compressed Archive

In order to send the eCTD message over Eudralink the entire message has to be zipped first. Some zip formats are not widely readable and therefore a submission could be rejected if the zipped format cannot be read by the agency. If in doubt, please check the intended format with the agency before sending. Please note there is a size limit of 80 MB per file. It is not possible to split an eCTD sequence. Therefore submission of an initial submission is not recommended over Eudralink as the file size will be usually over 80 MB.

5.8.1 Eudralink/e-Mail (where applicable)

EMA does not accept Eudralink submissions, except where specified for the provision of the annexes.

When using Eudralink, it is important that the expiry date is set to the maximum of 90 days to ensure that it can be opened during the process at the receiving authority. In addition, all information relating to the submission must be contained within the zipped sequence; no formal information should be included in the body of the Eudralink message.

Please note, in order to re-obtain the correct eCTD structure, unpack or extract the zip-file and save the content on your local path system. Otherwise the eCTD structure is not displayed in the correct way. When using Eudralink, some NCAs require an additional copy on hard media, check individual NCA web sites for details.

5.8.2 Portals

Generally small (<80MB) applications can be uploaded faster than huge submissions depending from the available bandwith or other technical restictions. Applicants should check with individual agencies for details of this process. If submissions are uploaded via a portal no data corruption should occur as a result of the process.

5.8.3 CD/DVD

Applicants should provide the electronic information on the smallest number of discs possible, taking into consideration the size of the submission.

Zipped files should not be used when sending CDs or DVDs.

If an individual eCTD submission is of such a size as to span several CDs, the provision of a DVD is recommended. However, if CD-R must be used, when large applications are submitted it is inevitable that the application will necessarily span multiple CDs. Where possible, individual modules should not be split over multiple CDs (e.g. if possible, a single CD should contain Module 1, Module 2, if too large to fit on the same CD should then go onto the next CD even if this requires CD 1 not to be filled to capacity and so on). If, in the case of larger modules, where a split over multiple CDs is inevitably necessary, subfolders should be distributed in sequence, and these subfolders should not be split between CDs, even if this requires a CD to be sent not full to capacity.

Submissions for workshare/grouping variations concerning several eCTD submissions are recommended to be supplied together on a single CD/DVD. The way how a submission unit will be assigned to relevant applications is explained in section 9.2.3 in this document.

6. CONTROLLED VOCABULARIES

As mentioned in Section 4.2, there is extensive use of controlled vocabularies in the execution of an eCTD v4.0 message. The information in the following sub-sections will outline the controlled vocabulary used in developing an eCTD v4.0 message. There are several different authoritative sources for the controlled vocabularies, and as such they are categorized below by the organization that controls the content. The ICH eCTD v4.0 specific terminology – i.e., the controlled vocabulary determined by ICH are stated in the ICH Implementation Guide.

Note to Implementers: *The controlled vocabulary required enables system to system communications and is not always the ideal way to display concepts in a system graphical user interface (GUI). Be cautious not to apply the technical codes in the GUI, instead use the business friendly terms that are specified by Regulatory Authorities.*
Note to Implementers: *During Step 2 for Testing, the controlled vocabulary will be provided in a spreadsheet format (ICH and EU) but have been included in section 6.1 in this document (EU regional) for convenience.*

6.1 Controlled Vocabularies for EU Purpose

The controlled vocabularies specified for the EU M1 part of the eCTD v4.0 message are provided below with a brief description of the terminology and location for obtaining detailed information.

6.1.1 EU M1 eCTD – Context of Use Codes

- This table will specify the code set for the Context of Use values that will mirror the headings found in the CTD structure for EU Module 1.

Code	eCTD Element in EU Module 1	
eu-m1-1	m1-eu	Not for document reference
eu-m1-0	m1-0-cover	
eu-m1-2	m1-2-form	
eu-m1-3	m1-3-pi	Not for document reference
eu-m1-3-1	m1-3-1-spc-label-pl	
eu-m1-3-2	m1-3-2-mockup	
eu-m1-3-3	m1-3-3-specimen	
eu-m1-3-4	m1-3-4-consultation	
eu-m1-3-5	m1-3-5-approved	
eu-m1-3-6	m1-3-6-braille	
eu-m1-4	m1-4-expert	Not for document reference
eu-m1-4-1	m1-4-1-quality	
eu-m1-4-2	m1-4-2-non-clinical	
eu-m1-4-3	m1-4-3-clinical	
eu-m1-5	m1-5-specific	Not for document reference

eu-m1-5-1	m1-5-1-bibliographic	
eu-m1-5-2	m1-5-2-generic-hybrid-bio-similar	
eu-m1-5-3	m1-5-3-data-market-exclusivity	
eu-m1-5-4	m1-5-4-exceptional-circumstances	
eu-m1-5-5	m1-5-5-conditional-ma	
eu-m1-6	m1-6-environrisk	Not for document reference
eu-m1-6-1	m1-6-1-non-gmo	
eu-m1-6-2	m1-6-2-gmo	
eu-m1-7	m1-7-orphan	Not for document reference
eu-m1-7-1	m1-7-1-similarity	
eu-m1-7-2	m1-7-2-market-exclusivity	
eu-m1-8	m1-8-pharmacovigilance	Not for document reference
eu-m1-8-1	m1-8-1-pharmacovigilance-system	
eu-m1-8-2	m1-8-2-risk-management-system	
eu-m1-9	m1-9-clinical-trials	
eu-m1-10	m1-10-paediatrics	
eu-m1-resp	m1-responses	
eu-m1-add	m1-additional-data	
eu-m1-asmnt	m1-assessments	

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6.1.2 EU M1 eCTD – Keyword Codes

- Keywords need be used to support a reader friendly presentation of content within the same context of use either by sender defined ***keywordDefinition*** or using a controlled vocabulary, e.g. for document type, language, country. In EU Module 1 for documents in “10-cover”, 12-form”, “13-pi”, “additional-data”, and “responses” the use of keywords for country code is required (see Section 6.3). Depending from the product, additional sender defined keywords can be used to specify the pharmaceutical form or strength a product information text is dedicated for. These user defined keywords can be used for Module 3 purpose at the same time.

- Note: The previously required language folder in “13-pi” will be replaced by documentLanguage.code (see: Section 9.7)

6.1.3 Application Codes

Source at EUTCT domain 100000000012

Application Code	*Description*
100000116046	Full dossier acc. Art 8.3(i) Dir. 2001/83/EC
100000116047	New active substance (Article 8(3) of Directive No 2001/83/EC)

100000116048	Known active substance (Article 8(3) of Directive No 2001/83/EC)
100000116049	Generic, hybrid or similar biological application (Article 10 of Directive No 2001/83/EC)
100000116055	Informed consent acc. Art 10c Dir. 2001/83/EC
100000116053	Bibliographic acc. Art 10 a Dir. 2001/83/EC
100000116054	Fixed combination acc. Art 10 b Dir. 2001/83/EC
100000116050	Generic acc. Art 10.1 Dir. 2001/83/EC
100000116051	Other (hybrid) generic acc. Art 10.3 Dir. 2001/83/EC
100000116052	Generic biological acc. Art 10.4 Dir. 2001/83/EC
100000116056	Traditional use registration for herbal medicinal product acc. Art 16a Dir. 2001/83/EC

6.1.4 Application Reference Reason Codes

Source at EUTCT TBD

Code	Description
Exp	Reference medicinal product chosen for the purposes of establishing the expiry of the data protection period
BE	Reference medicinal product chosen for the demonstration of bioequivalence

6.1.5 Category Event Codes

This class will not be used in EU M1 eCTD v4.0 message.

6.1.6 Contact Party Codes

Source at EUTCT TBD.

Code	Description
2.4.1	Proposed marketing authorization holder/person legally responsible for placing the product on the market
2.4.2	Person/company authorized for communication on behalf of the applicant during the procedure

2.4.3	Person/Company authorized for communication between the marketing authorization holder and the competent authorities after authorization
2.4.4	Qualified person in the EEA for Pharmacovigilance
2.4.5	Service of the MAH in the EEA as referred to in Article 98 of Directive 2001/83/EC

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612 ### 6.1.7 DocumentType Codes

Source at EUTCT TBD.

Code	Description
smpc	Summary of Product Characteristics
annex2,	Annex 2 to specify all presentations
outer	Labelling of the outer package
interpack	Labelling of an intermediate part of the packaging
impack	Labelling of the immediate packaging including the blister
pl	Package Leaflet
other	Other labeling text document
combined	Any of combined labeling texts

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615 ### 6.1.8 Mode Codes

Source at EUTCT TBD.

Code	Description
single	a single regulatory activity (e.g. a Type II variation)
grouped	grouped activity (e.g. several variations grouped into a single submission or a periodic report of type IA variations applicable to one or more marketing authorizations),
workshare	activity subject to a worksharing agreement (e.g. a Type II variation applicable to more than one marketing authorization)

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6.1.9 Place Codes

Source at EUTCT TBD

Code	Description
AT	Austria
BE	Belgium
BG	Bulgaria
CY	Cyprus
CZ	Czech Republic-
DK	Denmark
EE	Estonia
EU	European Union
FI	Finland
FR	France
DE	Germany
EL	Greece
HU	Hungary
IS	Iceland
IE	Ireland
IT	Italy
LV	Latvia
LI	Liechtenstein
LT	Lithuania
LU	Luxembourg
MT	Malta
NL	Netherlands
NO	Norway
PL	Poland
PT	Portugal
RO	Romania
SK	Slovak Republic
SI	Slovenia
ES	Spain
SE	Sweden
UK	United Kingdom

6.1.10 Product Category Codes

Source at EUTCT TBD..

Code	Description
chemical	Medicinal product containing chemical substance, e.g. elements, naturally occurring chemical materials and chemical products obtained by chemical change or synthesis
immunological	Immunological medicinal product: Any medicinal product consisting of vaccines, toxins, serums or allergen products
herbal	Herbal medicinal product: Any medicinal product, exclusively containing as active ingredients one or more herbal substances or one or more herbal preparations, or one or more such herbal substances in combination with one or more such herbal preparations
blood	Medicinal products derived from human blood or human plasma: Medicinal products based on blood constitutents which are prepared industrially by public or private establishments, such medicinal products including, in particular, albumin, coagulating factors and immunoglobulins of human origin.
Advanced	Advanced therapy medicinal product: A product as defined in Article 2 of Regulation (EC) No 1394/2007 of the European Parliament and of the Council of 13 November 2007 on advanced therapy medicinal products
homoepathic	Homeopathic medicinal product: Any medicinal product prepared from substances called homeopathic stocks in accordance with a homeopathic manufacturing procedure described by the European Pharmacopoeia or, in the absence thereof, by the pharmacopoeias currently used officially in the Member States. A homeopathic medicinal product may contain a number of principles.
Radiopharm	Radiopharmaceutical: Any medicinal product which, when ready for use, contains one or more radionuclides (radioactive isotopes) included for a medicinal purpose. For the purpose here radionuclide generators, kits, and radionuclide precursors will be included.
Traditional	Traditional herbal medicinal product: A herbal medicinal product that fulfils the conditions laid down in Article 16a(1).

6.1.11 Regulatory Status Codes[5]

Source at EUTCT domain 100000000012.

Status Code	*Description*
100000072097	Application for Marketing Authorisation received.
100000072099	Application for Marketing Authorisation approved.
100000072110	Application for Marketing Authorisation not accepted before evaluation.
100000072112	Renewal application rejected by the Regulatory Authorithy after evaluation.
100000072123	The marketing Authorisation expired due to the end of the sunset clause time period i.e. it is no longer valid as the medicinal product was not placed on the market for 3 years.
100000072100	Renewal application not received.
100000072111	Application for Marketing Authorisation rejected by the Regulatory Authorithy after evaluation.
100000072098	Application withdrawn by applicant before Marketing Authorisation
100000072113	Withdrawn after Marketing Authorisation by Marketing Authorisation Holder
100000072114	Withdrawn after Marketing Authorisation – unspecified.
100000072121	Withdrawn after Marketing Authorisation by the Regulatory Authority.
100000072122	Marketing Authorization suspended means the marketing □uthorization is still valid but the medicinal product must not , for some reason , be placed on the market, in the meantime.

6.1.12 Regulatory Review Time codes

Note: During testing period experience need to be gained to evaluate the need of this element.

Code	Description
30	30-day time scale for review, e.g. the reduced time in case of type II variations
60	60-day time scale for review, e.g. the normal time in case of type II variations
90	90-day time scale for review, e.g. the extended time in case of type II variations
210	210-day time scale for review, e.g. the normal time in case of new marketing application via DCP

[5] The currently defined values will not mirror any status before a final decision on an application. Therefore, it is considered to update the list to support two way communication sufficiently.

6.1.13 Review Procedure Codes

Source at EUTCT TBD.

Procedure Code	Description
01	Centralised Procedure
02	Decentralised Procedure
03	Mutual Recognition Procedure
04	National Procedure e

6.1.14 Submission Codes

Source at EUTCT TBD.

Submission Code	Description
`maa`	Initial Marketing Authorisation Application
`var-type1a`	Variation Type IA
`var-type1b`	Variation Type IB
`var-type2`	Variation Type II
`var-nat`	National variation (e.g. national variation to apply for a pack size that is already registered within an existing MRP/DCP uthorization)
`extension`	Extension
`psur`	Periodic Safety Update Report (PSUR)
`renewal`	Renewal (yearly or 5-yearly)
`fum`	Follow-Up Measure (includes post-approval commitments for national Mas)
`specific-obligation`	Specific Obligation
`asmf`	Active Substance Master File
`pmf`	Plasma Master File
`referral`	Referral under Article 29, 30, 31, 35 or 36
`annual-reassessment`	Annual Reassessment
`usr`	Urgent Safety Restriction
`paed-article-29`	Paediatric submission, Article 29

paed-article-46	Paediatric submission, Article 46
article-58	Article 58 (to be used for an initial application)
notification-61-3	Notification 61(3)
transfer-ma	Transfer of a marketing autorisation
lifting-suspension	Lifting of a suspension
withdrawal	Withdrawal during assessment or withdrawal of a marketing autorisation
reformat	Intended to support the reformatting of an existing submission dossier from any format to eCTD, i.e. a baseline eCTD submission containing no content change and which will not be subject to review

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637 ### 6.1.15 Submission Unit Codes

Source at EUTCT TBD..

638 ***Applicant's submission unit types***

Code	Description
initial	Initial submission to start a regulatory activity
supplemental-info	Supplemental Information (could include, for example, response to validation issues)
RespToLoQ	Applicants response to List of Questions
RespToLoI	Applicants response to List of out-standing Issues
corrigendum	Correction to the published annexes (usually shortly after approval)

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640 ***Regulating Authority's submission unit types***

Code	Description
LoQ	List of questions
LoI	List of out-standing issues
AuthorLetter	Authorisation letter
ConfirmReceipt	Confirmation of receipt
PrAR	Preliminary Assessment Report
DAR	Draft Assessment Report
FAR	Final Assessment Report
PrVAR	Preliminary Variation Assessment Report
FVAR	Variation Assessment Report
PrRAR	Preliminary Renewal Assessment Report
FRAR	Renewal Assessment Report

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643 ### 6.1.16 Territorial Authority Codes

Source at EUTCT TBD.

Code	*Description*
AT-AGES	Austria - BASG-Federal Office for Safety in Health Care (AGES-PharmMed LCM)
BE-FAMHP	Belgium - Agence Fédérale des Médicaments et des Produits de Santé
BG-BDA	Bulgaria - Bulgarian Drug Agency
CY-VS	Cyprus - Ministry of Health Pharmaceutical Services
CZ-SUKL	Czech Rep - State Institute for Drug Control
DK-DKMA	Denmark - Danish Medicines Agency
EE-SAM	Estonia -State Agency of Medicines
EU-EMA	EMA -European Medicines Agency
FI-NAM	Finland -National Agency for Medicines
FR-AFSSAPS	France - AFSSAPS - Agence Française de Sécurité Sanitaire des Produits de Santé
DE-BFARM	Germany - BfArM -Bundesinstitut für Arzneimittel und Medizinprodukte
DE-PEI	Germany - Paul-Ehrlich Institut
EL-EOF	Greece - EOF - National Drug Organisation
HU-OGYI	Hungary - National Institute of Pharmacy
IS-IMCA	Iceland - Icelandic Medicines Control Agency
IE-IMB	Ireland - Irish Medicines Board
IT-AIFA	Italy - Agenzia Italiana del Farmaco
IT-SPV	Italy - Ministero della Salute, Direzione Generale della Sanità Pubblica Veterinaria
LV-ZVA	Latvia - State Agency of Medicines
LI-LLV	Liechtenstein -Kontrollstelle für Arzneimittel beim Amt für Lebensmittelkontrolle und Veterinärwesen
LT-SMCA	Lithuania - State Medicines Control Agency
LU-MINSANT	Luxembourg - Direction de la Santé Villa Louvigny Division de la Pharmacie et des Medicaments
MT-MEDAUTH	Malta - Medicines Authority Divizjoni Tas-Sahha Bezzjoni Ghar-Regolazzjoni Tal-Medicini
NL-MEB	Netherlands - College ter Beoordeling van Geneesmiddelen Medicines Evaluation Board
NO-NOMA	Norway - The Norwegian Medicines Agency
PL-URPL	Poland - Office for Registration of Medicinal Products, Medical Devices and Biocidal Products
PT-INFARMED	Portugal - INFARMED - Instituto Nacional da Farmácia e do Medicamento Parque da Saúde de Lisboa
RO-ANM	Romania - National Medicines Agency
SK-SIDC	Slovak Rep -State Institute for Drug Control
SI-JAZMP	Slovenia - Agencija za zdravila in medicinske pripmocke
ES-AGEMED	Spain – Agencia Española de Medicamentos y Productos Sanitarios
SE-MPA	Sweden -Medical Products Agency

6.2 Controlled Vocabulary specified by HL7

The controlled vocabularies specified by Health Level 7 (HL7) will apply for EU M1 in the same way as for Module 2 to 5.

6.3 Controlled Vocabulary specified by Others

The controlled vocabulary specified by other organizations (i.e., not managed by ICH, Region or HL7) are provided below noting the responsible organization, a brief description of the terminology and location for obtaining detailed information.

- **International Organization for Standardization (ISO) - Two-Letter Language Code**: This is a two letter code that is specified for the language as specified in the ISO 639.1 standard. This vocabulary is used to define the ***text@language*** attribute. For EU M1 purposes a constrained list will be used (see EUTCT).
- **ISO Country Code – Two-letter Country Code:** This is the country code that is specified in the ISO 3166-1 standard. For EU M1 purposes a constrained list will be used (see section 6.1.9).
- Health informatics – Identification of Medicinal Products – Structures and Controlled Vocabularies for *Ingredients (Substances)* (prEN ISO 11238)

6.4 Maintenance of Controlled Vocabularies

International vocabulary harmonization for eCTD v4.0 is out of scope for the initial release of eCTD v4.0 and implementers may use existing vocabularies that are unique to their message exchange requirements between parties.

Maintenance of ICH Controlled Vocabularies will be handled by the M2 Working Group.

All other controlled vocabularies will be handled by EUTCT for the purpose of EU M1 use.

7. eCTD v4.0 XML Schema

There are no principles for using the EU part of the XML schema deviating from the ICH Implementation Guide.

8. eCTD 4.0 XML Message

There are no principles for creating the EU part of the XML message deviating from the ICH Implementation Guide. Nevertheless, additional regional specific requirements need to be considered as outlined below.

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Table 5: XML Structure- Sumission Unit

XML Structure

The eCTD begins by identifying the ***subject*** element of the XML message. The payload message starts with the ***SubmissionUnit*** element and relates the rest of the elements to the Submission Unit being sent. The ***SubmissionUnit*** element contains the following elements and their attributes:

- ***callBackContact.ContactParty***
- ***subject.CategoryEvent***
  - ***subject.CategoryEvent (sub-category)***
- ***component.contextOfUse***
  - ***links.relatedContextOfUse***
  - ***sequelTo.relatedContextOfUse***
  - ***derivedFrom.documentReference***
  - ***subjectOf.submissionReference***
  - ***referencedBy.keyword***
- ***componentOf.Submisison***

Mandatory elements in the message

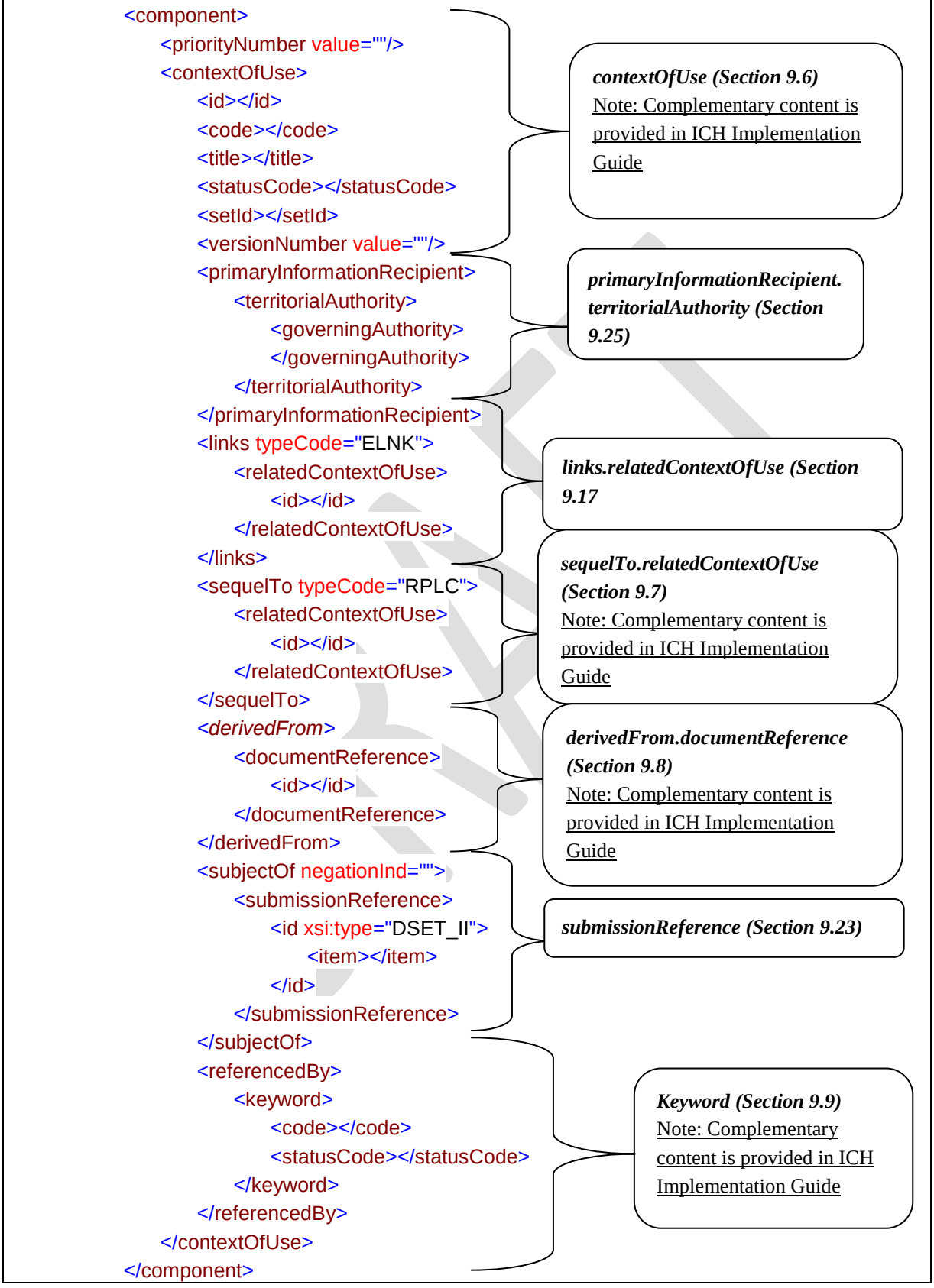
```
<subject typeCode="SUBJ">
    <submissionUnit>
        <id></id>
        <code></code>
        <title></title>
        <statusCode></statusCode>
        <callBackContact>
            <contactParty>
                <id></id>
                <statusCode></statusCode>
                <contactPerson>
                    <name xsi:type="BAG_EN">
                        <item><part/></item>
                    </name>
                    <telecom xsi:type="BAG_TEL">
                        <item></item>
                    </telecom>
                </contactPerson>
            </contactParty>
        </callBackContact>
        <subject>
            <categoryEvent>
                <code></code>
                <subject>
                    <categoryEvent>
                        <code></code>
                    </categoryEvent>
                </subject>
            </categoryEvent>
        </subject>
```

submissionUnit (Section 9.24)
Note: complementary content is provided in the ICH Implementation Guide

callBackContact (Section 9.5)

subject.CategoryEvent
Note: This will not be used in the EU

XML Structure



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687 **Table 6: XML Structure - Submission**

XML Structure

This section of the XML relates to specifying the ***Submission*** element. The following elements may follow the Submission:

- **sequenceNumber** (included as an element of the relationship between SubmissionUnit and Submission)
- **callBackContact.ContactParty**
- **subject1.mode**
- **subject2.review**
- **subject3.regulatoryReviewTime**
- **subject4.regulatoryStatus**
- **subject5.submissionGroup**

Mandatory elements in the message

```
<componentOf>
    <sequenceNumber></sequenceNumber>
        <submission>
            <id></id>
            <code></code>
            <callBackContact>
                <contactParty>
                    <id></id>
                </contactParty>
            </callBackContact>
            <subject1>
                <mode>
                    <id></id>
                </mode>
            </subject1>
            <subject2>
                <review>
                </review>
            </subject2>
            <subject3>
                <regulatoryReviewTime>
                    <code></code>
                </regulatoryReviewTime>
            </subject3>
            <subject4>
                <regulatoryStatus>
                    <code></code>
                </regulatoryStatus>
            </subject4>
            <subject5>
                <submissionGroup>
                    <id></id>
                </submissionGroup>
            </subject5>
```

sequenceNumber.submission (Section 9 20)

submission (Section 9.5)
Note: Complementary content is provided in ICH Implementation Guide

callBackContact (Section 9 5)

mode (Section 9.12)

review (Section 9 19

regulatoryReviewTime (Section 9 15)

regulatoryStatus (Section 9 16)

submissionGroup (Section 9.22)

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Table 7: XML Structure - Application

XML Structure

This section of the XML relates to the ***Application*** element. The application section contains the following elements and their attributes:

holder.applicant
informationRecipient.territorialAuthority
subject.ReviewProcedure
reference.applicationReference
component.document
component.priorityNumberdocument
referencedBy.keyword
referencedBy.keywordDefinition
replacementOf.previousKeywordDefinition

Mandatory elements in the message

```
<componentOf>
    <application>
        <id>
            <item root="" extension=""/>
        </id>
        <code></code>
        <holder>
            <applicant></applicant>
        </holder>
        <informationRecipient>
            <territorialAuthority>
                <governingAuthority>
                    <id></id>
                    <name>
                        <part value=""/>
                    </name>
                </governingAuthority>
            </territorialAuthority>
        </informationRecipient>
        <subject>
            <reviewProcedure>
                <code></code>
            </reviewProcedure>
        </subject>
        <reference>
            <applicationReference>
                <id></id>
            </applicationReference>
        </reference>
```

application (Section 9.2)
Note: Complementary content is provided in ICH Implementation Guide

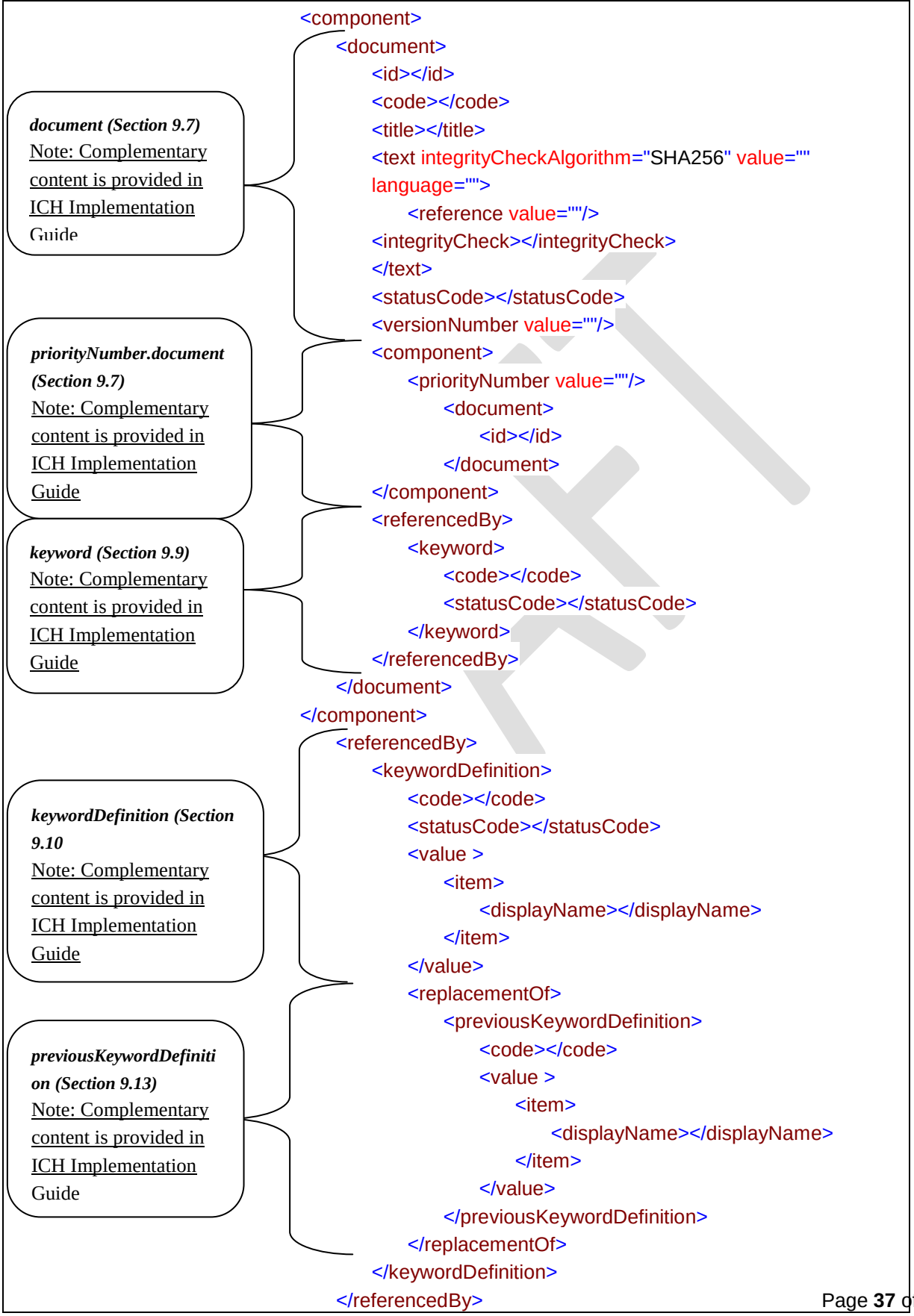
holder.applicant (Section 9.1)

informationRecipient.territorial Authority (Section 9.27)

reviewProcedure(Section 9.20)

applicationReference (Section 9.3)

XML Structure



XML Structure
These are the closing element tags for the key elements in the eCTD v4.0 message.
</application> </componentOf> </submission> </componentOf > </submissionUnit>

9. EU REGIONAL SPECIFIC REQUIREMENTS FOR ELEMENTS

9.1 Applicant

The Applicant element is presenting the role of the sponsor of the initiation of a marketing authorization application and is mentioned in relation to ***Application*** and to ***Review*** as well. For EU M1 participation related to ***Application*** is to be used only.

Description

The ***Applicant*** element provides the name of the organization of the applicant.

Location in XML

The ***Applicant*** element follows the ***Holder*** element, which follows directly after the ***Application*** elements.

XML details

The following is an example of the XML for the applicant information. The applicant enters as a ***holder*** element between ***Submission*** and ***Application***.

```
<holder>
    <applicant>
        <sponsorOrganization>
            <name xsi:type="BAG_EN">
            <item>
            <!--Code - 123456789 is the DUNS Number for the company Name-->
            <part value="Good Drugs" code="123456789" codeSystemVersion="OID for
DUNandBradstreet"/>
            </item>
            </name>
        </sponsorOrganization>
    </applicant>
</holder>
...
```

See XML Color Legend for color usage

XML Elements

Note: The explanation will be provided in one of the future versions

*The **classCode** is fixed to "SPNSR". This value is not required in the XML message.*

9.2 Application

The Application element is presented also in the ICH Implementation Guide as it is the connection point for the ***Document*** and ***keywordDefinition*** elements in the XML message.

Note: Application is primarily a Module 1 concept. Only complementary information is provided in the ICH Implementation Guide.

Description

The Application element represents a request from Regulated Industry to a Regulatory Authority for the approval to market a medicinal product for human use. The application in this context typically will cover all dosage forms and strengths of a product. In the centralized procedure, this will be equivalent to all dosage forms and strengths covered by an EMA application number (e.g. EMEA/H/C/000123). In MRP/DCP, a single eCTD application should preferably be used for the procedure (e.g. DE/H/2087/001-sss/DC or MR). However if an applicant decides not to apply for all strengths and dosage forms in every member state in the procedure, the possibility of having one eCTD application per strength/dosage form should be considered. The RPS standard used for eCTD v4.0 provides the opportunity to refer across applications. However, it is not allowed to make use of this option for the initial submission unit applying for a marketing authorization. Submissions and submission units for regulatory activities after this initial one may refer to several applications at the same time.

An application will consist over time of multiple submissions or regulatory activities (e.g., initial marketing authorization application, variations or PSURs). For example a marketing application may consist of one or more regulatory decisions - e.g., the collection of all approvals is related to the application. Each regulatory submission (for details refer to section 6.2. controlled vocabulary of submission types) will have its own regulatory action, and most likely will be composed of one or more submission units.

Location in XML

The ***Application*** element follows the ***componentOf*** element, which follows directly after the ***Submission*** elements.

XML details

The following is an example of the XML for the application information. The application enters as a ***componentOf*** element between ***Submission*** and ***Application***.

```
…
[This XML section will repeat for each Application element. A Submission element is a componentOf an
Application element]
…
<componentOf>
 <application>
        <id>
         <item root="12345678-1234-1234-1234-123456789012" extension="987654"/>
        …
        <!--Additional item elements can be added here-->
        …
        </id>
        <code code="100000116046" codeSystem="100000000012"/>
                …
                [Additional information may appear after the addition of the Application.code, for
                example any of the following elements related to Application – component,
                referencedBy, informationRecipient, reference, subject, or holder]
                …
 </application>
</componentOf>
```

Remark: The id@root will never change as it serves as identifier of the application at all time.

See XML Color Legend for color usage

XML Elements

Tables with a complete set of XML elements and attributes required for the ***Application*** element are provided in the ICH IG and will not being repeated here. For EU M1 no additional requirements apply.

Terminology

The controlled terminology for the Application element includes codes for the type of application (e.g. Full Dossier, Bibliographic, Biosimilar, Generic) (refer to section 6.1.3).

9.3 Application Reference

The ***applicationReference*** element is presenting the type of reference in specific application types, e.g. generic products.

Description

The ***applicationReference*** element provides information whether a reference to an already authorized medicinal product is used, e.g. in case of a generic product.

Location in XML

The ***applicationReference*** element follows the ***Application*** element, which follows directly after the ***Submission*** elements.

XML details

The following is an example of the XML for the application reference information.

```
...
    <reference>
        <!--Reference to an originator product-->
        <applicationReference>
            <id root=" 5.993452.56789.12345" extension=" ema002156-001"/>
            <reasonCode xsi:type="DSET_CD">
            <item code="Code for Application Reference Codes" codeSystem="OID for EU Application
Reference Codes"/>
            </reasonCode>
        </applicationReference>
    </reference>
```

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***applicationReference*** element, and any special instructions.

The classCode is fixed to ACT and moodCode is fixed to EVN. The values are not required in the XML message.

ApplicationReference.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element of the following attributes by which it uniquely identifies the application being referenced.
	root	[1..1]	Valid OID or UUID	This attribute is for a global unique identifier.
Conformance	The ***id*** is a required element			
Business Rules	This element must be used in case of generic products or the application is submitted by informed consent.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

ApplicationReference.reasoncode

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This code is related to the reason why reference can be made..
	code	[1..1]		

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	codeSystem	[1..1]	Valid OID or UUID	The codeSystem is a unique identifier that indicates the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***id*** is a required element			
Business Rules	Only if reference is made the reason code is mandatory.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@displayName*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

Terminology

The ***applicationReference.reasonCode*** element requires codes for the code element, e.g. expiry of data protection period (see Section 6.1.5).

Note: HL7 terms are named differently but are semantically the same as regulatory terms

9.4 Category Event

The ***category.Event*** element will not be used in the EU.

9.5 callBackContact

The ***callBackContact*** element is to be used for a person or department (***contactParty***) to call if there are any questions. At least one Contact Party needs to be named per each submission unit.

Description

The element indicates the information about an individual person who can be contacted in regard to the respective submission unit. Therefore, it will always be the person authorized for communication on behalf of the applicant during the regulatory activity (running procedure) (code 2.4.2)

Location in XML

The ***callBackContact*** element follows the ***submission*** element, which follows the ***sequenceNumber*** element.

Alternatively, the ***callBackContact*** element follows the ***submissionUnit*** element, which follows the ***subject*** element. For EU purposes the callBackContact.contactParty element should be used in this position. Any other location will be ignored.

XML details

The following is an example of the XML for the ***contactParty*** element.

callBackContact

```
<callBackContact>
    <contactParty>
        <id root="UUID for contactParty"/>
        <!--contactParty code of "c51862" = Regulatory contact-->
        <code code="2.4.2" codeSystem="NCI OID"/>
        <statusCode code="active"/>
        <contactPerson>
            <name xsi:type="BAG_EN">
                <item>
                <part value="Michael" type="GIV"/>
                <part value="Smith" type="FAM"/>
                </item>
            </name>
             <!--WP= workplace phone number and MC= mobile contact number-->
            <telecom xsi:type="BAG_TEL">
                <item value="tel:+1-212-555-9876" use="WP"/>
                <item value="tel:+1-212-555-6789" use="MC"/>
                <item value="mailto:michael.smith@goodmedicine.com">
                </item>
            </telecom>
        </contactPerson>
    </contactParty>
</callBackContact>
```

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***callBackContacty*** element, and any special instructions.

*The **classCode** is fixed to "CON". This value is not required in the XML message.*

ContactParty.role.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element that provides a unique identifier for the contact party that is being named
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the contact party
	extension	[1..*]		Details will be provide, e.g. name, telephone numbers etc.
Conformance	The ***id*** is a required element			

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Business Rules	• A least one contact party needs to be named in each submission unit, the person authorized for communication on behalf of the applicant during the regulatory activity • An id@root should be provided to uniquely identify the point of contact(s) for a submission. Note: The id element will be used when a contact needs to be removed as a submission contact. • The ***name*** element is provided to indicate the name of the point of contact. The name should be provided with two parts, one for the given (type=GIV), or first name and one for the family (type=FAM), or last name. • The ***telecom*** element is provided to indicate all relevant phone (tel:) and email (mailto:) contact information and include the ***item@use*** attribute to indicate the type of phone number (e.g., WP=Work Phone, MC=Mobile contact; Note: these values are maintained by HL7). Multiple ***telecom.item*** elements shall be used to provide each value.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

877

878 ***ContactParty.role.code***

879

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This code is related to the contact party that is being named.
	code	[1..1]	Alpha Numeric	This is the ***code*** attribute for the coded value of the contact party role

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	codeSystem	[1..1]	Valid OID or UUID	The codeSystem is a unique identifier that indicates the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***id*** is a required element			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@displayName*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

ContactParty.statusCode

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
statusCode		[1..1]		This is a container element that has a controlled terminology code that indicates the status of the Contact Party
	code	[1..1]	"active" or "inactive"	The code is a specified value that indicates whether the Contact Party is the active one.

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Conformance	The ***code*** attribute is required for all ***statusCode*** elements			
Business Rules	The ***statusCode@code*** must always be sent in the message. The ***statusCode@code*** should have the value active when sending a contact for the first time, or if there has been a change. All contact information should be sent for updated – i.e., not just the information that has changed. The system will overwrite the existing information with the new content.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***statusCode.part*** • ***statusCode@validTimeLow*** • ***statusCode@validTimeHigh*** • ***statusCode@controlInformationRoot*** • ***statusCode@controlInformationExtension*** • ***statusCode@nullFlavor*** • ***statusCode@flavorId*** • ***statusCode@updateMode***			

Terminology

The ***ContactParty*** element requires codes for the code element (see section 6.1.7) and the statusCode element.

9.6 Context of Use

The Context of Use provides a linkage between the table of contents heading of the CTD and the document reference that is contained under that heading. In the sections below, the examples will be provided for Module 1.

Description

The Context of Use is used by Regulated Industry to indicate how the documents in a submission should be categorized or characterized – i.e., the Context of Use defines the use of a document in context of the submission unit. For example, the Context of Use may pertain to Module 1, EU Administrative Information, specifically Environmental Risk Assessment (i.e., eCTD 1.6) and each of its sub-sections being its own Context of Use (e.g., eCTD 1.6.1, eCTD 1.6.2)

The Context of Use code and reference to a document (i.e., ***documentReference***) will be used to connect the content of the submission unit to one or more uses in a table of contents.

*The **contextOfUse** element will be repeated as necessary for a submission unit – i.e., there may be many **contextOfUse** elements in an XML message.*

*If multiple **contextOfUse** elements using the same **contextOfUse** code are sent in the same submission unit, a **priorityNumber** will indicate the order in which they should be displayed.*

Location in XML

The ***contextOfUse*** follows the ***component*** element of the ***submissionUnit,*** unless there is a ***priorityNumber*** element of the component (Details are provided in the ICH Implementation Guide).

XML details

The following is an example of the XML for the Context of Use. The ***contextOfUse*** enters as a ***component*** of the ***submissionUnit***.

Active contextOfUse – a contextOfUse with an active statusCode requires an ***id, code, statusCode, setId, versionNumber*** and ***documentReference*** elements as depicted below:

```
<component>
        <contextOfUse>
         <id root="12345678-1234-1234-1234-123456789012"/>
         <code code="1.6.1" codeSystem="100000000012"" />
         <statusCode code="active"/>
         <setId root="12345678-1234-1234-1234-12987654321"/>
         <versionNumber"1"/>
                …
                [Additional information may appear after the addition of the contextOfUse
                VersionNumber (if one exists, otherwise this will follow the setId (which is
                required), for example any of the following elements related to contextOfUse –
                primaryInformationRecipient, links, sequelTo]
                …

         <derivedFrom>
                <documentReference>
                 <id root="12345671-2313-5364-2786-123875636748"/>
                </documentReference>
                …
                [Additional information may appear after the addition of the contextOfUse
                VersionNumber (if one exists, otherwise this will follow the setId (which is
                required), for example any of the following elements: subjectOf, referencedBy,]
                …
 </contextOfUse>
</component>
```

Change in *contextOfUse* status – to make a ***contextOfUse*** inactive or active only the ***id, setId*** and ***statusCode*** need to be provided as depicted below:

```
<component>
        <contextOfUse>
         <id root="12345678-1234-1234-1234-123456789012"/>
         <statusCode code="inactive"/>
         <setId root="12345678-1234-1234-1234-12987654321"/>
</contextOfUse>
</component>
```

For additional information on Life Cycle issues, see Section 10.

XML Elements

Tables with a complete set of XML elements and attributes required for the ***contextOfUse*** element are provided in the ICH IG and will not being repeated here. For EU M1 no additional requirements apply.

Terminology

The Context of Use codes will be defined through a different implementation guide (see Table 8: Sample contextOfUse.code@code Terminology for samples) and the HL7 status codes are provided below.

The Context of Use codes will be provided by the ICH and Regional or Country-specific controlled vocabularies. Below is a small sample of Context of Use codes for Module 1, Quality.

Table 8: Sample contextOfUse.code@code Terminology

Code	eCTD v4.0 Display Name
m161	M1.6.1 Non-Genetically Modified Organisms
m162	M1.6.2 Genetically Modified Organisms

Note: These values will be changed when they are managed by EU, but may also be published at EUTCT with the new codes/values.

The desired status codes proposed to HL7 are listed in the following table.

Table 9: Sample contextOfUse.StatusCodes@code Terminology

code	Use in eCTD v4.0
"active"	Context of Use is current
"inactive"	Context of Use is no longer relevant – i.e., it may have been replaced or reverses*

* The relationship between the ***contextOfUse*** and ***relatedContextOfUse*** includes information about the ***sequelTo.typeCode*** value, which may either be a replacement or reverses of a ***contextOfUse***. This value is not currently part of the allowable HL7 Status Codes values, but the request will be made to HL7 to include it in this vocabulary. See Related ***contextOfUse*** for information on ***sequelTo.typeCode.***

965

966 ***Related Elements***

967 The following elements are related to ***contextOfUse*** and require additional information:

968 ***component.priorityNumber***

969 The ***priorityNumber*** provides the order of ***contextOfUse*** elements when the ***contextOfUse.code***
970 value is provided by multiple ***contextOfUse*** elements. The same principles as outlined in the ICH
971 IG apply to EU M1.

An additional element to order multiple ***contextOfUse*** will be offered by the use of keywords (see Section 9.1.9)

972

973

974 ## 9.7 Document

975 The document element is used for the purposes of transmitting the information about each
976 document related to an application. Based on the association with a specified CoU the valid use
977 for a specific application and the purpose of a specific regulatory activity is organized. As
978 documents will not be retired (no status change is foreseen) a new CoU can be associated at any
979 time regardless whether the application itself is still active or the regulatory activity is rejected or
980 approved.

981 ***Description***

982 Documents (e.g., PDF files) are prepared by the Applicant for review by the Regulatory
983 Authority. In case of a Regulatory Authority that will send a submission unit to Applicants, the
984 documents are prepared by the Regulatory Authority. A Document can be submitted as one or
985 more files and may change over time. One document can be associated with multiple
986 ***contextOfUse*** elements, and may be used in multiple submission units.

987 A document can be simple (i.e., a single file) or compound (i.e., more than one file).[14]

Note to Implementers: For simple documents, the text element should be provided. For compound documents, the component element should be used

[14] The CTD granularity document specifies where one or more documents may be submitted for each CTD section. Because the eCTD v3.2.2 does not distinguish files and documents, those terms have been previously used interchangeably.

instead to indicate the documents that make up the compound document.

Location in XML

The ***document*** results from the ***component*** element, which follows the ***application*** element. The ***component*** directly follows the ***holder*** element, if it exists. If not, then the ***component*** directly follows the ***subject*** element, if it exists. If not, then the ***component*** directly follows the ***reference*** element, if it exists. If not, then the ***component*** directly follows the ***referencedBy*** element, if it exists. If not, than the ***component*** directly follows the ***code*** element.

XML details

The following is an example of the XML for Document. The Document is a component of an Application. The sample provided below establishes the identity of the file as a simple document..

```
<component>
   <document>
      <id root="12345678-1234-1234-1234-98987654321"/>
      <!--Code is only used for further identifying simple documents that are part of a compound document and for which the controlled vocabulary has been defined-->
      <code code= "b12345" codeSystem="123456789-4321-4321-4321-123456789123"/>
      <title value="General Information"/>
      <text integrityCheckAlgorithm="SHA256" language="en">
         <reference xsi:type="TEL" value="../../ m1/eu/16-environrisk/161-nongmo/nongmo-var.pdf"/>
         <integrityCheck>618102bf07065bcc1250594201fe448515f0fa61</integrityCheck>
      </text>
      <statusCode code="active"/>
      <setId root="12345678-4321-4321-4321-123456789987"/>
      <versionNumber value="1"/ >
      …
         [Additional information may appear after the addition of the text (if one exists, otherwise this will follow the component. For example, depending on the type of document the following elements may be available to select from the Document – component, sequelTo, referencedBy]
      …
   </document>
</component>
```

See XML Color Legend for color usage

Note to Implementers: For simple documents (i.e., representing a single file), the text element will be provided along with the other required elements. For compound documents, the component element should be used instead in order to indicate the simple documents that make up the compound

document. Each component (simple document) may require additional information (see XML Element section below for additional details).

XML Elements

Tables with a complete set of XML elements and attributes required for the ***document*** element are provided in the ICH IG and will not being repeated here. The following additional requirements apply for EU M1.

Document.code

In Module 1.3.1 only, documents will have a ***code*** to further specify the file tags for the document, e.g., smpc, according to the respective controlled vocabulary (see Section 6.1.7)

Document.text

The ***text@language*** attribute is mandatory in Module 1.3.1.

Terminology

The ***document*** element has one coded terminology for language (the ISO language codes) (see Section 6.3) and another one for document type code (see Section 6.1.7). In Module 1.3.1 only, ***document*** elements must provide this type of informations

Related Elements

The following elements are related to ***document*** and require additional information.

The ***priorityNumber*** provides the order of ***document*** elements within a compound document – i.e., when the ***document*** element is a component of another ***document*** element. The same principles as outlined in the ICH IG apply to EU M1.

9.8 Document Reference

A ***documentReference*** allows a document to be specified for the ***contextOfUse***.

Description

A document can be used many times. Each time the document is used, that document has a different ***contextOfUse***. Accordingly, each Context of Use must reference a simple or compound document.

Location in XML

The ***documentReference*** follows the ***derivedFrom*** element, which follows the ***contextOfUse*** element. The ***derivedFrom*** element follows the ***versionNumber***, if one exists, if not, follows the ***setId*** element.

XML details

The following is an example of the XML for a document reference.

```
<derivedFrom>
    <documentReference>
        <id root="12345678-1234-1234-1234-98765432198"/>
    </documentReference>
</derivedFrom>
```

See XML Color Legend for color usage

XML Elements

Tables with a complete set of XML elements and attributes required for the ***documentReference*** element are provided in the ICH IG and will not being repeated here. No additional requirements apply for EU M1.

Terminology

There is no controlled terminology for this information.

9.9 Keyword

The ***keyword*** element is used for the purposes of transmitting additional information about a ***contextOfUse*** or ***document*** element. In the EU M1, the Country Code will be used to specify commonly used or nationally used documents including the referenced files. The keywords on documents will be used to identify types of product information texts in Module 1.3.1.

Description

The ***keyword*** is either defined by an external controlled vocabulary, e.g. document type code or country code, or it may be defined within the message as ***keywordDefinition***. For EU M1, the latter principle will apply to product information texts in order to sort them according to pharmaceutical form or strength.

Location in XML

As it pertains to the ***Document*** element, the ***keyword*** is linked through the ***referencedBy*** element, which follows the ***Document*** element.

As it pertains to the ***contextOfUse*** element, the ***keyword*** is linked through the ***referencedBy*** element, which follows the ***contextOfUse*** element.

XML Details

The following is an example of the XML for a Keyword. ***Document*** elements in EU Module 1.3.1 will have references to Keywords. In this context, Keywords are a coded value from a controlled vocabulary.

Keywords from a Controlled Vocabulary

```
<component>
    <document>
        <referencedBy>
            <keyword>
                <code code="uk" codeSystem="ISO country code"/>
            </keyword>
        </referencedBy>
    </document>
</component>

<component>
    <contextOfUse>
        <referencedBy>
            <keyword>
                <code code="en" codeSystem="ISO language code"/>
            </keyword>
        </referencedBy>
    </contextOfUse>
</component>
```

See XML Color Legend for color usage

XML Elements

Tables with a complete set of XML elements and attributes required for the ***Keyword*** element are provided in the ICH IG and will not being repeated here. For the purpose of EU Module 1, no additional requirements apply for EU M1.

Terminology

For EU Module 1 no controlled vocabulary is needed.

9.10 Keyword Definition

The ***keywordDefinition*** element is used to define a keyword by the sender that is referenced by identifier in other parts of the message. For details see ICH Implementation guide. The usage of

this element is expected to be helpful in EU Module 1 for product information text to separate different pharmaceutical forms or strengths.

9.11 Manufactured Product

This element must be selected in case of an eCTD v4.0 message concerning the initial application for a human medicinal product. This determines the role of a product in the national context within a DCP or MRP. For applications submitted nationally only this element and related elements can be ignored. Subsequent submission units related to authorized products do not need to provide this type of information repeatedly.

Description

The ***ManufacturedProduct*** element collects the name of the product by country and the active ingredients. This element may support internal workflow mechanisms but will not replace the annex 5.15 to the application form of the current Module 1.2 in the EU.

Location in XML

The ***ManufacturedProduct*** element follows the ***subject*** element, which follows the ***Review*** element.

XML details

The following is an example of the XML for the ***ManufacturedProduct*** element.

```
- <subject1>
    - <manufacturedProduct>
        <id />
      - <manufacturedProduct>
        - <asNamedEntity>
          - <assigningTerritory>
              <code code="NL" />
            - <name>
                - <!-- Product name type and value -->
                  <part value="Wonder Drug" language="nl" />
              </name>
          </assigningTerritory>
        </asNamedEntity>
        - <ingredient>
          - <activeIngredientSubstance>
            - <name>
              - <!-- Substance name type and value -->
                <part code="IND01" codeSystem="Active ingredient code system OID"
value="Pioglitazone hydrochloride" />
                <part code="IND02" codeSystem="Active ingredient code system OID"
value=" Metformin hydrochloride" />
              </name>
```

```
            </activeIngredientSubstance>
          </ingredient>
        </manufacturedProduct>
      </manufacturedProduct>
    </subject1>
```

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***ManufacturedProduct*** element, and any special instructions.

*The **classCode** is fixed to "MANU". This value is not required in the XML message.*

ManufacturedProduct.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element for a reference to the manufactured product
	root	[1..1]	Valid OID or UUID	This attribute is for a global unique identifier of the ***manufactured product*** being referenced
Conformance	The ***id*** element and ***root*** attribute are required.			
Business Rules	This element provides the referencing point for the invented name of the medicinal product per involved member state.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

Related Elements

The following element is related to ***manufacturedProduct*** and requires additional information:

Product

The ***product*** element provides the information about the name of the product as used per territory and its ingredient(s) depending on how many pharmaceutical active ingredients contained. The following is an example for one relevant product name (case 1) and two diffeent product names per each country in use for the same manufactured product (case 2):

Case 1

```
<subject1>
   <manufacturedProduct>
      <manufacturedProduct>
         <name xsi:type="DSET_EN">
            <item>
               <part code="Product Name Type code" codeSystem="Product Name Type code system OID" value="Product Name" language="en"/>
            </item>
            </name>
            <asNamedEntity>
               <name xsi:type="DEST_EN">
                  <item>
                     <part value="authority name"/>
                  </item>
               </name>
            <assigningTerritory>
               <code code="country code"/>
            </assigningTerritory>
         </asNamedEntity>
         <ingredient>
            <activeIngredientSubstance>
               <name>
                  <part code="Substance Name Type(INN, USAN, etc)" codeSystem="Substance Name Type code system OID" value="Substance Name"/>
               </name>
            </activeIngredientSubstance>
         </ingredient>
      </manufacturedProduct>
   </manufacturedProduct>
</subject1>
```

Case 2

To have multiple product names (e.g., Refludan and Refludin), the product.name.item.part can be repeated, and alternatively, <subject1> can be repeated as well.

(1) if you repeat the product.name.item.part;

```
<subject1>
   <manufacturedProduct>
      <manufacturedProduct>
         <name xsi:type="DSET_EN">
            <item>
```

```
                    <part code="Product Name Type code" codeSystem="Product Name Type code system
OID" value="Refludan" language="en"/>
                    <part code="Product Name Type code" codeSystem="Product Name Type code system
OID" value="Refludin" language="es"/>
                </item>
            </name>…….
```

(2) if you repeat the <subject1>;

```
<subject1>
   <manufacturedProduct>
      <manufacturedProduct>
         <name xsi:type="DSET_EN">
            <item>
               <part code="Product Name Type code" codeSystem="Product Name Type code system
OID" value="Refludan" language="en"/>
            </item>
         </name>
         <asNamedEntity>
            <name xsi:type="DEST_EN">
               <item>
                  <part value="authority name1"/>
               </item>
            </name>
            <assigningTerritory>
               <code code="country code"/>
            </assigningTerritory>
         </asNamedEntity>
         <ingredient>
            <activeIngredientSubstance>
               <name>
                  <part code="Substance Name Type(INN, USAN, etc)" codeSystem="Substance Name
Type code system OID" value="Substance Name1"/>
               </name>
            </activeIngredientSubstance>
         </ingredient>
      </manufacturedProduct>
   </manufacturedProduct>
</subject1>
<subject1>
   <manufacturedProduct>
      <manufacturedProduct>
         <name xsi:type="DSET_EN">
            <item>
               <part code="Product Name Type code" codeSystem="Product Name Type code system
OID" value="Refludin" language="es"/>
            </item>
         </name>
         <asNamedEntity>
            <name xsi:type="DEST_EN">
               <item>
                  <part value="authority name2"/>
               </item>
            </name>
            <assigningTerritory>
               <code code="country code"/>
            </assigningTerritory>
```

```
            </asNamedEntity>
            <ingredient>
                <activeIngredientSubstance>
                    <name>
                        <part code="Substance Name Type(INN, USAN, etc)" codeSystem="Substance Name
Type code system OID" value="Substance Name1"/>
                    </name>
                </activeIngredientSubstance>
            </ingredient>
        </manufacturedProduct>
    </manufacturedProduct>
</subject1>
```

9.12 Mode

The high-level handling of the information submitted as part of variation(s) and extension applications will be indicated by this element. The ***mode*** element should only be used in variation or line extension regulatory activities and must be included in every sequence of that activity. The following are the valid modes: a single regulatory activity (e.g. a Type II variation), a grouped activity (e.g. several variations grouped into a single submission or a periodic report of type IA variations applicable to one or more marketing authorizations), and an activity subject to a worksharing agreement (e.g. a Type II variation applicable to more than one marketing authorization).

Description

The ***mode*** element indicates whether the regulatory activity will be handled as a group or in a single or work shared manner.

Location in XML

The ***mode*** element follows the ***submission*** element, which is referenced by ***contextOfUse*** element.

XML details

The following is an example of the XML for the ***mode*** element.

Mode

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***Mode*** element, and any special instructions.

*The **classCode** is fixed to "POLICY" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

Mode.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element that provides a unique identifier for the mode of submission
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the mode of a submission
Conformance	The ***id*** is a required element			
Business Rules	The mode element must be used in case of variations.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

ModeAct.code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This is the ***code*** attribute for the coded value of the mode of a submission.

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	code	[1..1]	Alpha Numeric e.g., “single”	This is the ***code*** attribute for the coded value of the mode of the submission type variation.
	codeSystem	[1..1]	Valid OID or UUID	This is the ***codeSystem*** attribute that is a unique identifier for the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***code*** and ***codeSystem*** is a required element			
Business Rules	If the mode element is been used the code is required as well.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

Terminology

The ***mode*** element requires codes for the code element (see section 6.1.8).

9.13 Previous Keyword Definition

The ***previousKeywordDefinition*** element is used to replace the keyword definition that was defined by the sender when it changes over time. Details are provided in the ICH Implementation Guide.

9.14 Product Category

The ***productCategory*** is used to indicate the overall category of human medicinal product based on the active ingredients, e.g. chemical, herbal or biotech product.

Description

The ***ProductCategory*** element is used to provide information about a class of medicinal products related to the top level group its active ingredient is belonging to..

Location in XML

The ***ProductCategory*** element follows the ***sequelTo*** element, which follows the ***Review*** element.

XML details

The following is an example of the XML for ***ProductCategory***.

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***ProductCategory*** element, and any special instructions.

*The **classCode** is fixed to "CATEGORY" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

ProductCategory.code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This is a container element for the ***ProductCategory***

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	code	[1..1]	Valid OID or UUID	This is the ***code*** attribute for the coded value of the ***ProductCategory***
	codeSystem	[1..1]	Valid OID or UUID	This is the ***codeSystem*** attribute that is a unique identifier for the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***code*** and ***codeSystem*** is a required element			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

Terminology

The ***productCategory*** element requires codes for the code element (see section 6.1.11).

9.15 Regulatory Review Time

The Regulatory Review Time element need to be used in case of variations where the same type of variation can be assessed within different time periods, e.g. variation type II in 60 or 90 days.

Description

The ***regulatoryReviewTime*** element indicates the time period in which the action by authority can be expected or is defined by law or business rules.

Location in XML

The ***regulatoryReviewTime*** element follows the ***submission*** element, which is referenced by ***contextOfUse*** element.

XML details

The following is an example of the XML for the ***regulatoryReviewTime*** element.

RegulatoryReviewTime

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***regulatoryReviewTime*** element, and any special instructions.

*The **classCode** is fixed to "ACT" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

RegulatoryReviewTime.code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This is a container element that identifies the type of review time class-
	code	[1..1]	Alpha Numeric e.g., "30", "60" or "210" This is a controlled vocabulary	This is the ***code*** attribute for the coded value of the ***ReviewTime***-type that indicates the regulatory review requirements for the respective submission.

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	codeSystem	[1..1]	Valid OID or UUID	This is the ***codeSystem*** attribute that is a unique identifier for the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***code*** and ***codeSystem*** is a required element			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

Terminology

The ***regulatoryReviewTime*** element requires codes for the code element (see section 6.1.11).

9.16 Regulatory Status

The Regulatory Status element defines the outcome of regulatory action on a submission.

Description

The ***RegulatoryStatus*** element is to assign the status of a regulatory activity applied for once the authority has decided to respond to the applicant. This element will be used by Regulatory Authorities only and supports therefore two-way communication.

Location in XML

The ***regulatoryStatus*** element follows the ***submission*** element, which is referenced by ***contextOfUse*** element.

XML details

The following is an example of the XML for the ***regulatoryStatus*** element.

RegulatoryStatus

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***regulatoryStatus*** element, and any special instructions.

*The **classCode** is fixed to "ACT" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

RegulatoryStatus.code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This is a container element that identifies the regulatory status of the submission
	code	[1..1]	Alpha Numeric e.g., "Approved", "Withdrawn",	This is the ***code*** attribute for the coded value of the regulatory status assigned by the responsible CA

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	codeSystem	[1..1]	Valid OID or UUID	This is the ***codeSystem*** attribute that is a unique identifier for the controlled vocabulary system *This should be the OID or UUID registered for the code system.*
Conformance	The ***code*** and ***codeSystem*** is a required element			
Business Rules	This element should be used by the responsible competent authority only, e.g. EMA in case of centralized procedures or the RMS in case of DCP or MRP.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

RegulatoryStatus.effectiveTime

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
effective time		[1..1]		This is a container element that provides the time stamp when a new regulatory status is assigned.

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	timestamp	[1..1]	timestamp (GREG) *"20000401031520.34+00" means April 1, 2000, 3:15 and 20.34 seconds expressed for UTC*	This value describes the precise time of assigning a regulatory status.
Conformance	The ***effective time*** is a required element			
Business Rules				
Excluded Elements and Attributes				

Terminology

The ***regulatoryStatus*** element requires codes for the code element (see section 6.1.12).

9.17 related Context Of Use (contextOfUse Life Cycle)

The ***relatedContextOfUse*** is used to connect one context of use with another. The ***sequelTo*** relationship is used for tracking the life cycle of context of uses. Details are provided in the ICH Implementation Guide.

9.18 Related Document

The Related Document element will not be used in the EU M1.

9.19 Review

The ***review*** element is related to the regulatory activity (as defined by the submission), is associated with the holder and an author in the meaning of the Reference Member State or responsible authority, e.g. EMA in centralized procedures, and refers to the product and the product category.

Description

The ***review*** element connects product, product category and the regulatory activity (submission element). Optionally, additional information about the reference member state and the applicant can be provided, but will not required for the EU.

Location in XML

The ***review*** element follows the ***subject*** element, which follows the ***submission*** element.

XML details

The following is an example of the XML for the ***review*** element.

Review

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***review*** element, and any special instructions.

*The **classCode** is fixed to "REV" and **moodCode** is fixed to "RQO". These values are not required in the XML message.*

Review.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element that provides a unique identifier for the review activity
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the review activity
Conformance	The ***id*** is a required element			

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

1447

1448 ### *Review.statusCode*

1449

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
status		[1..1]		This is a container element that provides …….
	root	[1..1]	Valid OID or UUID	This is the root attribute that …….
Conformance	The ***status*** is a required element			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@displayable***			

1450

1451 ### *Terminology*

1452 The ***review*** element requires codes for the status code element.

1453 The desired status codes proposed to HL7 are listed in the following table.

1454 **Table 10: Sample review.StatusCodes@code Terminology**

code	Use in eCTD v4.0
"active"	Review is current
"inactive"	Review is no longer relevant – i.e., the submission may be withdrawn

1455

9.20 Review Procedure

The ***reviewProcedure*** defines the type of procedure to assess the marketing authorisation application whether it is a centralized, decentralized, mutual recognition or purely national procedure

Description

The ***reviewProcedure*** element provides the procedure type explicitly.

Location in XML

The ***reviewProcedure*** element follows the ***application*** element.

XML details

The following is an example of the XML for the ***reviewProcedure*** element.

ReviewProcedure

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***reviewProcedure*** element, and any special instructions.

*The **classCode** is fixed to "POLICY" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

ReviewProcedure.code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[1..1]		This is a container element that provides a unique identifier for the review procedure type code

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the review procedure type
Conformance	The ***id*** is a required element			
Business Rules	The review procedure type needs to be provided in each case.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

Terminology

The ***reviewProcedure*** element requires codes for the ***code*** element (see section 6.1.14).

9.21 Submission

The ***submission*** is the representation of a regulatory activity constituted by several submission units and referring to at least one application.

Description

The ***submission*** element defines the relationship between a submission unit, the Contexts of Use mentioned and the application. Depending from the regulatory activity multiple applications can be mentioned.

Location in XML

The ***submission*** element follows the ***component*** element, which follows the ***sequenceNumber*** element, if it exists. If not, it follows the ***component*** element of a Context Of Use.

XML details

The following is an example of the XML for the ***submission*** element.

Submission

Note: Examples for XML snippets will be provided in one of the future versions

Remark: The id@root will change for a new regulatory activity only. As long as submission units refer to the same regulatory activity the same id@root will be used.

Submission componentOf Application

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***Submissiont*** element, and any special instructions.

*The **classCode** is fixed to "ACT" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

Submission.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element that provides a unique identifier for the submission
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the submission
Conformance	The ***id*** is a required element			
Business Rules	Only one ***item*** element should be provided for a Submission.			

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

1502

1503 ### *Submission.code*

1504

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
code		[0..1]		This is a container element for the submission
	code	[1..1]	Alpha Numeric e.g., maa, var-nat, var-type1b	This is the code attribute, which is a unique value that indicates the type of content in the ***Submission***
	codeSystem	[1..1]	Valid OID or GUID	This is the codeSystem attribute
Conformance				
Business Rules	***Submission*** codes may vary for different product types. In case of eCTD for human medicinal product the relevant code list is in section 6.1.15.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion*** • ***code@valueSet*** • ***code@valueSetVersion*** • ***code@originalText*** • ***code@codingRationale*** • ***code@translation*** • ***code@source***			

1505

Submission.statusCode

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
statusCode		[0..1]		This is a container element for the ***statusCode*** of the Submission
	code	[1..1]	Alpha Numeric e.g., active, nullified	This is the ***statusCode*** attribute that indicates the status of the submission
Conformance	If the ***statusCode*** element is provided, the ***code*** attribute is required			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***code@codeSystemName*** • ***code@codeSystemVersion***			

Terminology

Type of submission will be defined by the sender (see section 6.1.15).

Related Elements

The following elements are related to ***submission*** and require additional information:

component.sequenceNumber

The ***sequenceNumber*** provides the sequence in a ***submission*** for the ***submissionUnit*** being submitted and should follow the rules stated below:

- The ***sequenceNumber*** element is always required
- The ***sequenceNumber.value*** is a non-negative integer (i.e., non-negative whole number)
- The ***sequenceNumber.value*** should always start with 000001 in the application life cycle
- The ***sequenceNumber.value*** is always unique within an application, and may skip numbers within regulatory activities (i.e., multiple regulatory activities may be active at the same time).
- The ***sequenceNumber.value*** should include 6-digits – i.e., the sender should pad the value with zeros so that there is no question about the number sequence.

The following is an example:

<componentOf>

```
    <sequenceNumber value="000001"/>
      <submission>
          ...
              [Additional information appears for the Submission element.]
          …
      <submission>
</componentOf>
<componentOf>
    <sequenceNumber value="000002"/>
      <submission>
          ...
              [Additional information appears for the Submission element]
          …
       <submission>
</componentOf>
```

9.22 Submission Group

The Submission Group represents an option to process regulatory activities together in case the assessment will cover same content but the regulatory activity cannot be handled as one procedure, e.g several generic applications with different product names but identical pharmaceutical composition and properties cannot be assessed like grouped variations or other formal workshare procedures but in one go. A submission group needs to be defined per regulatory activity and is required to be stated within each submission unit submitted during that course of assessment.

Description

The ***submissionGroup*** element can be used in case same regulatory activity will be processed the same way but formally not running under the same procedure number or can be grouped or shared according legal rules. The UUID will connect the different applications for this submission (regulatory activity) in the submission group (id:0987.997).

Location in XML

The ***submissionGroup*** element follows the ***submission*** element, which follows the ***subjectOf*** element.

XML details

The following is an example of the XML for the ***submissionGroup*** element.

SubmissionGroup derived from Submission

```
<subject5>
   <submissionGroup>
      <id root="UUID for the submissionGroup" extension="0987.997" />
   </submissionGroup>
 </subject5>
```

```
<componentOf>
   <application>
      <id>
      - <!-- Application ID -->
      - <!-- ============ -->
      - <!-- Should EU use this item to store the number used by an agency to track the
submission, in any procedure, in relation to a particular product. -->
      - <!-- This could be a MRP Number, the EMEA application number, or any other number
used by an agency to track a submission.  -->
      - <!-- ============ -->
         <item root="fr-2083-001-dc" extension="de-2189072"/>
         <item root="fr-2083-001-dc" extension="nl-456789"/>
         <item root="fr-2083-001-dc" extension="uk-341974/>
         <item root="fr-2083-001-dc" extension="fr-234-345"/>
      </id>
         …
          [Additional information may appear after the addition of the Application.code, for
          example any of the following elements related to Application – component,
          referencedBy, informationRecipient, reference, subject, or holder]
         …
   </application>
</componentOf>


<subject5>
   <submissionGroup>
      <id root="UUID of the SubmissionGroup" extension="0987.997"/>
   /submissionGroup>
</subject5>
<componentOf>
   <application>
      <id>
         <item root="fr-2084-001-dc" extension="de-2189073"/>
         <item root="fr-2084-001-dc" extension="nl-456790"/>
         <item root="fr-2084-001-dc" extension="uk-341975"/>
         <item root="fr-2084-001-dc" extension="fr-234-432"/>
      </id>
   </application>
</componentOf>
```

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***submissionGroup*** element, and any special instructions.

*The **classCode** is fixed to "GROUPER" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

SubmissionGroup.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
id		[1..1]		This is a container element that provides a unique identifier for the submission unit
	root	[1..1]	Valid OID or UUID	This is the root attribute that uniquely identifies the submission group of which the submission is part of
Conformance	The ***id*** is a required element			
Business Rules				
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

Terminology

There is no further terminology foreseen.

9.23 Submission Reference

The Submission Reference provides the option to refer to a submission sent by applicant in case the authority will use two-way communication and will be used by regulators only.

Description

The ***submissionReference*** element indicates the previously started regulatory activity to which the authority response relates.

Location in XML

The ***submissionReference*** element follows the ***subject*** element next to ***contextOfUse*** element.

XML details

The following is an example of the XML for the ***SubmissionReference*** element.

Submission Reference

Note: Examples for XML snippets will be provided in one of the future versions

See XML Color Legend for color usage

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***SubmissionReference*** element, and any special instructions.

*The **classCode** is fixed to "OBS" and **moodCode** is fixed to "EVN". These values are not required in the XML message.*

SubmissionReference.id

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Id.item		[1..1]		This is a container element for the ***SubmissionReference***
	root	[1..1]	Valid OID or UUID	This is the root attribute that provides the global unique identifier for the ***SubmissionReference*** element
Conformance	The ***id.item@root*** is a required element			

Element	Attribute	Cardinality	Value(s) Allowed *Examples*	Description *Instructions*
Business Rules	More than one ***item*** element may be provided.			
Excluded Elements and Attributes	The following attributes are not required by eCTD 4.0: • ***id@extension*** • ***id@identifierName*** • ***id@scope*** • ***id@reliability*** • ***id@displayable***			

Terminology

There is no further terminology foreseen

9.24 Submission Unit

The Submission Unit is a collection of documents provided to the Regulatory Authority at one time or to the Applicant incase the Regulatory Authority will send their list of question or assessment report using the same messaging standard. A submission unit always relates to a regulatory activity specified by the submission that is related to a specified application.

In case a submission unit needs to be withdrawn by the applicant a new message needs to be sent just providing the new status code “nullified” of that previously submitted unit. Content references are not required as the status code of document elements will not change and also CoU elements are not affected.

Description

The ***submissionUnit*** element indicates the information about an individual eCTD v4.0 XML message – i.e., only one submission unit can be sent at a time.

Location in XML

The ***submissionUnit*** element follows the ***subject*** element, which follows the ***controlActProcess*** element.

XML details

The following is an example of the XML for the ***submissionUnit*** element.

Submission Unit

```
<subject typeCode="SUBJ">
    <submissionUnit>
        <id root=“78965412-3214-5698-7856-985412563254”/>
```

```
        <code code="ICH-Amendment" codeSystem="12365478-9874-5632-11235-
951268473654"/>
        <statusCode code="active"/>
          ……
            [Additional information may appear after the addition of the statusCode (if one exists,
            otherwise this will follow the title or code elements. For example, depending on the type of
            submission unit the additional elements may be available to select from the submission unit–
            component, callBackContact, componentOf or subject elements]
           ...
        <componentOf>
          <sequenceNumber value="00001"/>
          <submission>
          ...
            [Additional information will follow for the submission and application elements.]
          ...
          </submission>
        </componentOf>
      </submissionUnit>
</subject>
```

XML Elements

Tables with a complete set of XML elements and attributes required for the ***SubmissionUnit*** element are provided in the ICH IG and will not being repeated here. No additional requirements apply for EU M1.

Terminology

Type of submission unit will be defined by a controlled vocabulary (see section 6.1.15) either for Applicants or for Regulatory Authorities. Note: There are different submission unit types codesapplicable whether the sender is a Applicant or aRegulatory Authority.The regulatory status codes are used for status. (see Section 6.1.11)

Related Elements

The following elements are related to ***submissionUnit*** and require additional information:

- ***callBack.Contact*** (see Section 9.1.5)
- ***primaryInformationRecipient*** *(see Section 9.1.25)*
- ***submissionReference*** *(see Section 9.1.23)*

9.25 Territorial Authority (as author of review)

This element refers to the author of the review in the meaning of the Reference Member State or responsible authority, e.g. EMA in centralized procedures, and refers to the product and the product category and states the respective authority and the territory of responsibility. This

element will be used if the message is created by Regulatory Authority sending back e.g. the Assessment Report or List of Questions.

XML details

```
<author>
   <territorialAuthority>
   - <!-- Recipient review authority's country if applied to review level -->
      <territory>
         <code code="FR" codeSystem="Country Code system OID" />
      </territory>
      <governingAuthority>
         <name>
         <!-- Recipient review authority -->
         <part code="ansm" value=" L'Agence nationale de sécurité du médica-
         ment et des produits de santé " codeSystem="Authority Code syst OID" />
         </name>
      </governingAuthority>
   </territorialAuthority>
</author>
```

9.26 Territorial Authority (as primary information recipient related to contextofUse)

The elements ***primaryInformationRecipient*** and ***informationRecipient*** (see section below) will provide names of ***territorialAuthority***. For centralized procedure this does mean the EMA will be stated in both cases. In case of DCP the Reference Member State, i.e. France, will be named by using the ***primaryInformationRecipient*** element and the ***informationRecipient*** element, all Member States involved, i.e. The Netherlands, France, Germany (BfArM), will be named by using only the ***informationRecipient*** element. This element will be provided once as always only one agency will serve as a primary recipient..

XML details

```
    <primaryInformationRecipient>
    <!-- Specific Health Authority and/or country to which this CoU is for (if needed
    to be specified) -->
        <territorialAuthority>
            <territory>
                <code code="FR" codeSystem="country code system OID"
                codeSystemName="country code system name" />
            </territory>
        <governingAuthority>
            <id root="52345678-1234-1234-1234-12345678901" />
                <name>
                    <part value="ansm" code="FR-ansm" />
                </name>
```

```
            </governingAuthority>
        </territorialAuthority>
    </primaryInformationRecipient>
```

9.27 Territorial Authority (as information recipient related to application)

This element refers to the recipients receiving the submission unit / submission and being involved into the procedure. In consequence those recipients need to be named in whose country the medicinal product is applied for being marketed.

Description

The ***territorialAuthority*** element indicates the country for which the authority decision will be relevant and which NCA is the recipient in case more than one is responsible to authorize medicinal products in one country, e.g. PEI for vaccines and BfArM for herbal medicinal products in Germany.

Location in XML

The ***territorialAuthority*** element follows the ***informationRecipient*** element, which related to the ***Application*** element.

XML details

```
<informationRecipient>
    <territorialAuthority>
        <territory>
        <code code="FR" />
        </territory>
        <governingAuthority>
            id root="52345678-1234-1234-1234-12345678901" />
        <name>
        <part value="ansm" code="FR-ansm" />
        </name>
        </governingAuthority>
    </territorialAuthority>
</informationRecipient>
<informationRecipient>
    <territorialAuthority>
        <territory>
        <code code="NL" />
        </territory>
        <governingAuthority>
            id root="62345678-1234-1234-1234-12345678901" />
        <name>
        <part value=" MEB " code=" NL-MEB " />
        </name>
        </governingAuthority>
```

```
        </territorialAuthority>
    </informationRecipient>
    <informationRecipient>
        <territorialAuthority>
            <territory>
            <code code="DE" />
            </territory>
            <governingAuthority>
                id root="72345678-1234-1234-1234-12345678901" />
            <name>
            <part value=" BFARM " code=" DE-BFARM " />
            </name>
            </governingAuthority>
        </territorialAuthority>
    </informationRecipient>
```

XML Elements

The following tables provide a complete set of XML elements and attributes required for the ***territorialAuthority*** element, and any special instructions.

*The **classCode** is fixed to "TERR". This value is not required in the XML message.*

Related Elements

The following elements are related to ***territorialAuthority*** and require additional information:

Territory

The ***Territory*** provides the information about the area of responsibility to authorize medicinal products for marketing.

Terminology

The name of the territory is provided in the respective controlled vocabulary (see section 7.1.10).

GoverningAuthority

The ***governingAuthority*** provides the information about the authority responsible to authorize medicinal products for marketing. As not only one authority may take the responsibility per country both elements are required.

Terminology

The name of the authority is provided in the respective controlled vocabulary (see section 7.1.17).

10. CREATING THE MESSAGE

With the individual components of the XML message described above, each of those components will now be used to demonstrate how to compose multiple components to address a specific scenario and to explain how to address the creation and modifications to the content transmitted during the lifecycle of a submission focusing on EU M1 as recommendations need to differ from ICH recommendations or cover EU specific scenarios.

10.1 Individual Components

10.1.1 Managing Country Specific Product Names in MRP and DCP

Different from the centralized and purely national procedures, in MRP and DCP different product names per Member State may occur. Not copying content from the annexes of the application form, but supporting agency specific processing the product names related to the territory of the assigning authority can be stated in ***ManufacturedProduct*** and related elements.

XML example for different product names in MRP/DCP:

```
- <subject1>
  - <!-- to have multiple product name (e.g. WonderMat in Germany, Wonder Drug in NL,
    WonderPil in UK and PileWonder in France -->
   - <manufacturedProduct>
      <id />
    - <manufacturedProduct>
     - <asNamedEntity>
      - <assigningTerritory>
          <code code="DE" />
        - <name>
            - <!-- Product name type and value -->
              <part value="WonderMat" language="de" />
          </name>
        </assigningTerritory>
      </asNamedEntity>
     - <ingredient>
      - <activeIngredientSubstance>
        - <name>
            - <!-- Substance name type and value -->
              <part code="IND01" codeSystem="Active ingredient code system OID"
value="Pioglitazone hydrochloride" />
              <part code="IND02" codeSystem="Active ingredient code system OID"
value="Metformin hydrochloride " />
          </name>
       </activeIngredientSubstance>
```

```
1869          </ingredient>
1870        </manufacturedProduct>
1871      </manufacturedProduct>
1872    </subject1>
1873  - <subject1>
1874      - <manufacturedProduct>
1875          <id />
1876        - <manufacturedProduct>
1877          - <asNamedEntity>
1878            - <assigningTerritory>
1879                <code code="NL" />
1880              - <name>
1881                  - <!-- Product name type and value -->
1882                    <part value="Wonder Drug" language="nl" />
1883                </name>
1884              </assigningTerritory>
1885            </asNamedEntity>
1886          - <ingredient>
1887            - <activeIngredientSubstance>
1888              - <name>
1889                - <!-- Substance name type and value -->
1890                  <part code="IND01" codeSystem="Active ingredient code system OID"
1891      value="Pioglitazone hydrochloride" />
1892                  <part code="IND02" codeSystem="Active ingredient code system OID"
1893      value=" Metformin hydrochloride" />
1894                </name>
1895              </activeIngredientSubstance>
1896          </ingredient>
1897        </manufacturedProduct>
1898      </manufacturedProduct>
1899    </subject1>
1900  - <subject1>
1901      - <manufacturedProduct>
1902          <id />
1903        - <manufacturedProduct>
1904          - <asNamedEntity>
1905            - <assigningTerritory>
1906                <code code="UK" />
1907              - <name>
1908                  - <!-- Product name type and value -->
1909                    <part value="WonderPil" language="en" />
1910                </name>
1911              </assigningTerritory>
1912            </asNamedEntity>
1913          - <ingredient>
1914            - <activeIngredientSubstance>
```

```
            - <name>
              - <!-- Substance name type and value -->
                <part code="IND01" codeSystem="Active ingredient code system OID"
      value="Pioglitazone hydrochloride" />
                <part code="IND02" codeSystem="Active ingredient code system OID"
      value=" Metformin hydrochloride" />
              </name>
            </activeIngredientSubstance>
          </ingredient>
        </manufacturedProduct>
      </manufacturedProduct>
    </subject1>
  - <subject1>
      - <manufacturedProduct>
          <id />
        - <manufacturedProduct>
          - <asNamedEntity>
            - <assigningTerritory>
                <code code="FR" />
              - <name>
                - <!-- Product name type and value -->
                  <part value="Pile Wonder" language="fr" />
                </name>
              </assigningTerritory>
            </asNamedEntity>
          - <ingredient>
            - <activeIngredientSubstance>
              - <name>
                - <!-- Substance name type and value -->
                  <part code="IND01" codeSystem="Active ingredient code system OID"
      value="Pioglitazone hydrochloride" />
                  <part code="IND02" codeSystem="Active ingredient code system OID"
      value=" Metformin hydrochloride" />
              </name>
            </activeIngredientSubstance>
          </ingredient>
        </manufacturedProduct>
      </manufacturedProduct>
    </subject1>
  - <subject1>
```

10.1.2 Managing Country Specific Processing Numbers

Only in case of MRP and DCP multiple national procedure numbers need to be stated in addition to the procedure number. The latter is inserted as UUID of the application. The application.id.item

element will be repeated as many as needed. The extension provides the container for a national procedure number.

XML example:

```
<componentOf>
    <application>
        <id xsi:type="DSET_II">
            <item root="fr-2083-001-dc" extension="de-2189072"/>
            <item root="fr-2083-001-dc" extension="nl-456789"/>
            <item root="fr-2083-001-dc" extension="uk-341974”/>
            <item root="fr-2083-001-dc" extension="fr-234-345"/>
        </id>
        …
        [Additional information may appear after the addition of the Application.code, for
        example any of the following elements related to Application – component, referencedBy,
        informationRecipient, reference, subject, or holder]
        …
    </application>
</componentOf>
```

10.1.3 Product Information Texts in EU Module 1.3.1

Product information texts need to have a set of metadata to specify the country of applicability, the language, the type of text and – depending from the product structure – information regarding pharmaceutical form or strength this text is dedicated to be used. These metadata will be assigned using different elements of the eCTD XML message:

The ***document.text*** element holds a ***language*** element

The ***document*** element holds a ***code*** element specifying document types like smpc or pl

A keyword from the controlled vocabulary of ISO country codes specifies the country of applicability.

A keyword value from the sponsor defined ***keywordDefinition*** of pharmaceutical form or strength will allow a presentation of the set of product information texts provided in the QRD template per pharmaceutical form or strength.

Note: The keyword value for pharmaceutical form must not use a standard term according EDQM. The purpose of this value is just to differentiate the product presentations and could be simple as possible.

XML example:

```
-<component>
    -<contextOfUse> <id root="12345678-1234-5678-3456-127536489712"/>
        <!-- CTD Heading -->
        -<code codeSystem="Code system OID " code="m131-smpclabelpl">
            <displayName value="1.3.1 SmPC, Label ,PL”
        </code>
            <title value="SmPC-PL-Label"/>
            <!-- CTD Heading status -->
            <statusCode code="active"/>
```

```
                <setId root="set ID"/>
                <versionNumber value="1.0"/>
            -<primaryInformationRecipient>
            <!-- Specific Health Authority and/or country to which this CoU is for (if needed to be specified) -->
                -<territorialAuthority>
                    -<territory>
                        <code codeSystem="FR" codeSystemName="country code system name"/>
                    </territory>
                </territorialAuthority>
            </primaryInformationRecipient>
            -<derivedFrom>
                -<documentReference>
                    <id root="12345678-1234-1234-1234-198765432198" extension="12345"/>
                </documentReference>
            </derivedFrom>
            -<subjectOf>
                <!-- The SubmissionReference element is used to indicate when a ContextOfUse is not
                    relevant to a specific Submission within a submissionUnit.-->
                -<submissionReference>
                    <id xsi:type="DSET_II">
                        <item root="12345678-1234-5678-3456-127536489712"/>
                    </id>
                </submissionReference>
            </subjectOf>
        </contextOfUse>
    </component>

Product information text may be presented as simple documents or compound document consisting of
SmPC, PL, and Labelling

            <component>
            <!--Compound Document (SmPC, Label, PL)-->
                <document>
                    <id root="12345678-1234-1234-1234-198765432198"/>
                    <title value="SmPC-PL-Label"/>
                    <statusCode code="active"/>
                    <setId root="12345678-3333-2222-1111-123456789012"/>
                    <versionNumber value="1"/>
                    <!--Id reference to Simple Document A1 (SmPC)-->
                    <component>
                        <priorityNumber value="1"/>
                        <document>
                            <id root="12345678-5555-9999-9999-123456789013"/>
                        </document>
                    </component>
                    <!--Id reference to Simple Document A2 (Package Leaflet)-->
                    <component>
                        <priorityNumber value="3"/>
                        <document>
^                       <id root="12345678-4444-9999-9999-123456789014"/>
                        </document>
                    </component>
                    <!--Id reference to Simple Document A3 (Labelling)-->
```

```
                <component>
                    <priorityNumber value="2"/>
                    <document>
                        <id root="12345678-6666 -9999-9999-123456789016"/>
                    </document>
                </component>
                <referencedBy>
                     <keyword>
                        <code code="common" codeSystem= "CC-Code"/>
                    </keyword>
                </referencedBy>
                -<referencedBy>
                 <keyword>
                        <code code="200mg" codeSystem= "Sponsor-Strength-Id"/>
                 </keyword>
                </referencedBy>
            </document>
        </component>
```

It will also be possible to use simple documents without a compound document element to cover the set. In this example the simple documents serving as the reference of the compound document

```
    <component>
    <!--Simple Document #A1 - SmPC-->
        <document>
            <id root="12345678-9999-9999-9999-123456789013"/>
            <code code="smpc" codeSystem="OID for EU Document Code"/>
            <title value="SmPC"/>
            <text integrityCheckAlgorithm="SHA256" language="en">
                <reference value="../../m1/13-pi/131-smpclabelpi/131-smpc.pdf"/>
                <integrityCheck> e3b0c44298fc1c149afbf4c8996fb92427ae41e4649b934ca495991b7852b855</integrity Check>
            </text>
            <statusCode code="active"/>
            <setId root="12345678-1111-1111-1111-123456789013"/>
            <versionNumber value="1"/>
                <referencedBy>
                     <keyword>
                        <code code="common" codeSystem= "CC-Code"/>
                    </keyword>
                </referencedBy>
                -<referencedBy>
                 <keyword>
                        <code code="200mg" codeSystem= "Sponsor-Strength-Id"/>
                 </keyword>
                </referencedBy>
        </document>
    </component>
    <component>
    <!--Simple Document #A2 – Package Leaflet-->
        <document>
            <id root="12345678-9999-9999-9999-123456789014"/>
```

```
                <code code="pl" codeSystem="OID for EU Document Code"/>
                <title value="Package Leaflet"/>
                    <text integrityCheckAlgorithm="SHA256" language="en">
                        <reference value="../../m1/13-pi /131-smpclabelpl/131-pl.pdf"/>
                        <integrityCheck> 3b0c44298fc1c149afbf4c8996fb92427ae41e4649b934ca45991b7852b855</integrityCheck>
                    </text>
                    <statusCode code="active"/>
                    <setId root="12345678-1111-1111-1111-123456789014"/>
                    <versionNumber value="1"/>
            <referencedBy>
                 <keyword>
                    <code code="common" codeSystem= "CC-Code"/>
                </keyword>
            </referencedBy>
            -<referencedBy>
             <keyword>
                    <code code="200mg" codeSystem= "Sponsor-Strength-Id"/>
             </keyword>
            </referencedBy>
                </document>
            </component>
            <component>
            <!--Simple Document #A3 – Labelling-->
                <document>
                    <id root="12345678-9999-9999-9999-123456789016"/>
                        <code code="label" codeSystem="OID for EU Document Code"/>
                        <title value="Labelling"/>
                        <text integrityCheckAlgorithm="SHA256" language="en">
                            <reference value="../../m1/13-pi/131-smpclabelpl/131-label.pdf"/>
                            <integrityCheck> e3b0c44298fc1c149afbf4c8996fb92427ae41e4649b934ca495991855</integrityCheck>
                        </text>
                    <statusCode code="active"/>
                    <setId root="12345678-1111-1111-1111-123456789015"/>
                <versionNumber value="1"/>
            <referencedBy>
                 <keyword>
                    <code code="common" codeSystem= "CC-Code"/>
                </keyword>
            </referencedBy>
            -<referencedBy>
             <keyword>
                    <code code="200mg" codeSystem= "Sponsor-Strength-Id"/>
             </keyword>
            </referencedBy>
        </document>
    </component>
```

10.2 Content Management (contextOfUse and Documents)

There are no deviating principles to apply in case of an EU eCTD XML message. The example below shows a short sample of ***contextOfUse*** and ***Document*** elements referencing a few EU M1 files.

XML example:

```
<componentOf>
    <application>

        [Additional information may appear after the addition of the Application.code, for
        example any of the following elements related to holder, informationRecipient,
        ReviewProcedure, Application.Reference]

        <component>
            <document>
                <id root="12345678-5555-5555-5555-555555550001"/>
                <title value="Cover Letter"/>
                <text integrityCheckAlgorithm="SHA256">
                <reference value="../../m1/eu/10-cover/common-cover-20120420.pdf"/>
                <integrityCheck>3285a776897425b9a3b87abbaaf163fb261242397997b003efe3201e</integrityCheck>
                </text>
                <statusCode code="active"/>
                <setId root="57694301"/>
                <versionNumber value="1"/>
            </document>
        </component>
        <component>
            <document>
                <id root="12345678-5555-5555-5555-555555550001"/>
                <title value="Tracking Table"/>
                <text integrityCheckAlgorithm="SHA256">
                <reference value="../../m1/eu/10-cover/common-cover-tracking-20120420.pdf"/>
                <integrityCheck>3285a776xv745a25b9a3b87abbaaf163f726ec91242397997b003efe3201e</integrityCheck>
                </text>
                <statusCode code="active"/>
                <setId root="573421301"/>
                <versionNumber value="1"/>
            </document>
        </component>
        <component>
            <document>
                <id root="12345678-5555-5555-5555-555555550002"/>
                <title value="Expert Quality"/>
                <text integrityCheckAlgorithm="SHA256">
                <reference value="../../m1/eu/14-expert/141-quality/quality-meier.pdf"/>
                <integrityCheck>3285a776897425b9a3b877z45abbaaf1726ec91242397997b003efe3202e</integrityCheck>
                </text>
                <statusCode code="active"/>
                <setId root="29872638"/>
                <versionNumber value="1"/>
            </document>
        </component>
        <component>
```

```
            <document>
                <id root="12345678-5555-5555-5555-555555550003"/>
                <title value="Expert Non-Clinical"/>
                <text integrityCheckAlgorithm="SHA256">
                <reference value="../../m1/eu/14-expert/142-nonclinical/nonclinical-schulz.pdf"/>
                <integrityCheck>3285a776897425b9a3b87abbaaf16
                    3fb2646726ec91242397997b003efe3203e</integrityCheck>
                </text>
                <statusCode code="active"/>
                <setId root="6910897729"/>
                <versionNumber value="1"/>
            </document>
        </component>
    </application>
</componentOf>
```

The respective folder structure is provided below:

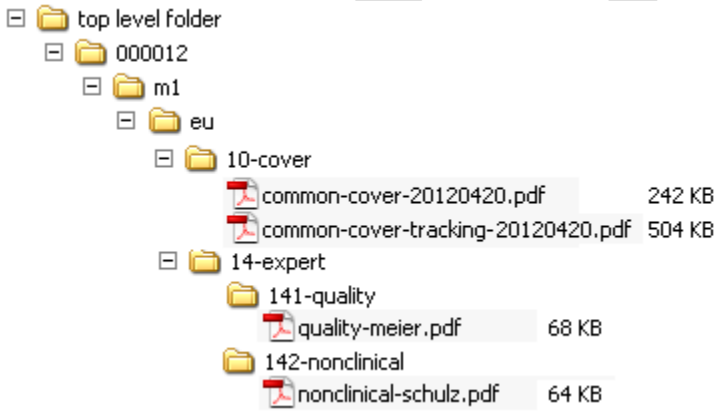


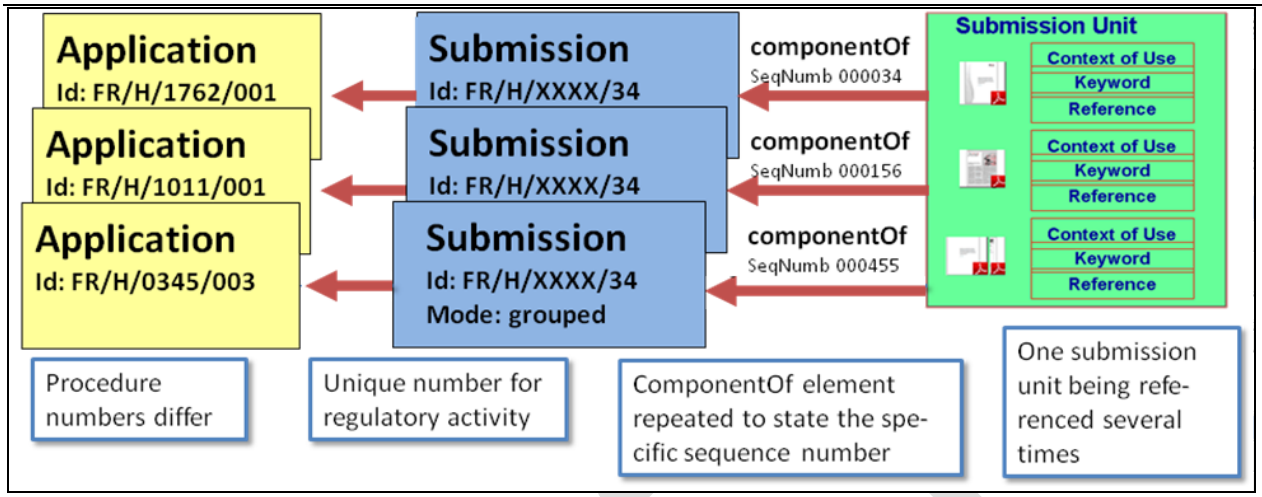
Figure 2: Folder structure related to submission unit message

10.3 Complex Scenarios

10.3.1 Referencing Multiple Applications in Case of Grouped or Workshared Regulatory Activities (Submissions)

Grouped and workshared variations are the only business case for sending a Submission Unit with more than one ***componentOf.Submission*** element (e.g., manufacturing changes that affect more than one application) to associated this ***submissionUnit*** via multiple ***submission*** elements to all ***applications*** concerned by the grouped variation.

Figure 3: Referencing multiple applications



XML example:

```
<subject typeCode="SUBJ">
    <submissionUnit>
        <id></id>
        <code></code>
        <title></title>
        <statusCode></statusCode>
        <callBackContact>
            <contactParty>
                ...
            </contactParty>
        </callBackContact>
        <component>
            <priorityNumber value="1"/>
            <contextOfUse>
                ...
            </contextOfUse>
          </component>
        <componentOf>
            <sequenceNumber>
                <sequenceNumber value="000001"/>
            </sequenceNumber>
            <submission>
                <id/>
                <item root="Globally unique submission ID" extension="FR/H/XXXX/34" />
                <code code="var-type2" codeSystem="Submission Type Code system OID" codeSystemName="Submission
Type Codes " />
                    <subject1>
                        <mode>
                            <id/>
                            < code="grouped" />
                        </mode>
                    </subject1>
                    <subject2>
                        <review>
                        - <author>
                                ....
                        </author>
                        </review>
                    </subject2>
                ° </submission>
            </component>
```

```
-<componentOf>
    -<application>
        <id xsi:type="DSET_II">
            <item root="fr-2083-001-dc" extension="de-2189072"/>
            <item root="fr-2083-001-dc" extension="nl-456789"/>
            <item root="fr-2083-001-dc" extension="uk-341974/>
            <item root="fr-2083-001-dc" extension="fr-234-345"/>
        </id>
                                    …
        [Additional information may appear after the addition of the Application.code, for example any of the following
        elements related to Application – component, referencedBy, informationRecipient, reference, subject, or
        holder]
        …
    </application>
°</component>
-<component>
  <sequenceNumber>
        <sequenceNumber value="000021"/>
  </sequenceNumber>
  <submission>
        <id/>
    <item root="Globally unique submission ID" extension="FR/H/XXXX/34" />
    <code code="var-type2" codeSystem="Submission Type Code system OID" codeSystemName="Submission
Type Codes " />
        <subject1>
            <mode>
                <id/>
                < code="grouped" />
            </mode>
        </subject1>
        <subject2>
            <review>
          - <author>
                        ….
            </author>
             </review>
        </subject2>
  ° </submission>
 </component>
-<componentOf>
    -<application>
        <id xsi:type="DSET_II">
            <item root="de-0353-001-dc" extension="de-2172912"/>
            <item root=" de-0353-001-dc" extension="nl-34810"/>
            <item root=" de-0353-001-dc" extension="uk-287645/>
            <item root=" de-0353-001-dc" extension="fr-293867"/>
        </id>
                                    …
        [Additional information may appear after the addition of the Application.code, for example any of the following
        elements related to Application – component, referencedBy, informationRecipient, reference, subject, or
        holder]
        …
    </application>
-</component>
-<component>
  <sequenceNumber>
        <sequenceNumber value="000045"/>
  </sequenceNumber>
  <submission>
   ….
  ° </submission>
 </component>
-<componentOf>
    -<application>
            ….
    </application>
 </componentOf>
</submission>
</componentOf>
</submissionUnit>
```

The complete section needs to be repeated as needed by number of applications involved.

```
</subject>
```

10.3.2 Managing Duplicates

In case of submitting duplicates of a new marketing authorization application (different product names but one sponsor using the identical dossier) the assessment and processing of these duplicates can be simplified by building a group. This will be managed by the ***submissionGroup*** element. This serves as an indicator in the review system to manage all related MAA as a group (see Section 6.22)

10.3.3 Referencing across submissions and application of the same pharmaceutical company

The principles of referencing is entirely the same regardless whether a reference should be presented within a submission unit, where a document is to be displayed with two different context of use, or across submissions, or across applications. Always a ***document*** element will be referenced by the new ***contextOfUse*** element by its ID. The ***document*** element provides the link to the PDF-file. The ***document*** element ID needs to be known which might not work, if the compiling systems of different companies are not interoperable once the medicinal product was transferred to another MAH. As a general rule, no ***document*** elements can be referenced if they are not submitted to all member states involved. From technical point of view the rules outlined in the ICH Implementation Guide apply entirely to EU Module 1 as well.

Remark: Document title corrections will be displayed wherever the document element is refrerenced. This effect is acceptable as no regulatory content will be changed.

10.4 eCTD XML message from regulators

As it was the purpose of eCTD improvement version 4.0 supports two way communication. To this regard XML messages have to be built by regulators as well. These messages should include any type of assessment reports and list of questions, but in case of messages at the end of a procedure is should provide the updated regulatory statusas well, the authorization letter and the finally agreed product information texts. Several elements relevant for a messages sent by applicants will not be needed by regulators. The following tables will illustrate the constrained part.

2384 **Table 11: XML Structure- Submission Unit from Regulators**

XML Structure

The eCTD begins by identifying the ***subject*** element of the XML message. The payload message starts with the ***SubmissionUnit*** element and relates the rest of the elements to the Submission Unit being sent. The ***SubmissionUnit*** element in case of a message from regulators contains the following elements and their attributes:

- ***callBackContact.ContactParty***
- ***component.contextOfUse***
  - ***derivedFrom.documentReference***
- ***componentOf.Submisison***

Mandatory elements in the message

```
<subject typeCode="SUBJ">
    <submissionUnit>
        <id></id>
        <code></code>
        <title></title>
        <statusCode></statusCode>
        <callBackContact>
            <contactParty>
                <id></id>
                <statusCode></statusCode>
                <contactPerson>
                    <name xsi:type="BAG_EN">
                        <item><part/></item>
                    </name>
                    <telecom xsi:type="BAG_TEL">
                        <item></item>
                    </telecom>
                </contactPerson>
            </contactParty>
        </callBackContact>
        <component>
            <priorityNumber value=""/>
            <contextOfUse>
                <id></id>
                <code></code>
                <title></title>
                <statusCode></statusCode>
                <setId></setId>
                <versionNumber value=""/>
                <primaryInformationRecipient>
                    <territorialAuthority>
                        <governingAuthority>
                        </governingAuthority>
                    </territorialAuthority>
```

submissionUnit (see Section 6.1.15).

callBackContact
Details of process management contact

contextOfUse
This is for EU Module 1 e.g. “assessments”

primaryInformationRecipient.territorialAuthority
In case of comments from CMS, this element can be used for recipient role of the RMS . If the message is created by the RMS, this element should not be used.

XML Structure
</sequelTo> <*derivedFrom*> <documentReference> <id></id> </documentReference> </derivedFrom>

derivedFrom.documentReference
Any assessment report, list of question or letter to the applicant will be referenced here.,

Table 12: XML Structure – Submission from Regulators

XML Structure
This section of the XML relates to specifying the ***Submission*** element. The following elements may follow the Submission: • **sequenceNumber** (included as an element of the relationship between SubmissionUnit and Submission) • **subject2.review** • **subject4.regulatoryStatus** • **subject5.submissionGroup**
<componentOf> <sequenceNumber></sequenceNumber> <submission> <id></id> <code></code> <subject2> <review> </review> </subject2> <subject4> <regulatoryStatus> <code></code> </regulatoryStatus> </subject4> <subject5> <submissionGroup> <id></id> </submissionGroup> </subject5>

Mandatory elements in the message

sequenceNumber.submission)
The same number as used by the applicant can be used. The reviewing system need to use the time stamp of the header for display purpose.

submission)

review
This will include information about the author (RMS) of e.g the assessment report.

regulatoryStatus

submissionGroup
This element is mandatoryonly if the assessment reports apply to more than one application.

2388

2389 **Table 13: XML Structure - Application from Regulators**

XML Structure

This section of the XML relates to the ***Application*** element. The application section is constrained to the following elements and their attributes in case of a message from regulators:

informationRecipient.territorialAuthority
component.document
component.priorityNumberdocument

Mandatory elements in the message

```
<componentOf>
    <application>
        <id>
            <item root="" extension=""/>
        </id>
        <code></code>
        <informationRecipient>
            <territorialAuthority>
                <governingAuthority>
                    <id></id>
                    <name>
                        <part value=""/>
                    </name>
                </governingAuthority>
            </territorialAuthority>
        </informationRecipient>
```

application

informationRecipient.territorial Authority
Details of the receiving member states)

```
        <component>
            <document>
                <id></id>
                <code></code>
                <title></title>
                <text integrityCheckAlgorithm="SHA256" value=""
                language="">
                    <reference value=""/>
                <integrityCheck></integrityCheck>
                </text>
                <statusCode></statusCode>
                <versionNumber value=""/>
                <component>
                    <priorityNumber value=""/>
                        <document>
                            <id></id>
                        </document>
                </component>
            </document>
```

document
This will reference e.g. the assessment report

priorityNumber.document
Note: in most cases this is not needed.

The the closing element tags for the key elements in the eCTD v4.0 message are not displayed..

The most consistant way to make use of a sequence number will be to re-use the same of the sponsor's submission unit to which the regulators message responds. For display purpose and to support an appropriate ordering the time stamp of the header might be used: the incoming message can be presented first (receiving date at agency) and the outgoing message second (sending date by agency).

10.5 Building Regulatory Activities (Submission)

The following section provides a set of message snippets that highlight the Module 1 content. These XML samples do not include the information that is relevant to Modules 2-5. All samples in this section provide a regulatory activity life cycle within an application.

10.5.1 Marketing Authorisation Application (MAA)

Examples are provided in Appendix 2

10.5.2 Variation

Examples are provided in Appendix 2

11. XML MESSAGE VALIDATION RULES

[This section should describe how validate an eCTD v4.0 message.]

12. COMPATIBILITY AND REFERENCE TO EU M1 ECTD V1.4.1

[This section should describe how to continue an eCTD life cycle started with v3.x using the v4.0 specification. This should include topics like how to reference eCTD v3.x leafs and sequences from within eCTD v4.0 messages, mapping of controlled vocabulary terms used in v3.x into v4.0, and any expectations on the display of information from v3.x sequences from tools for displaying v4.0 messages.

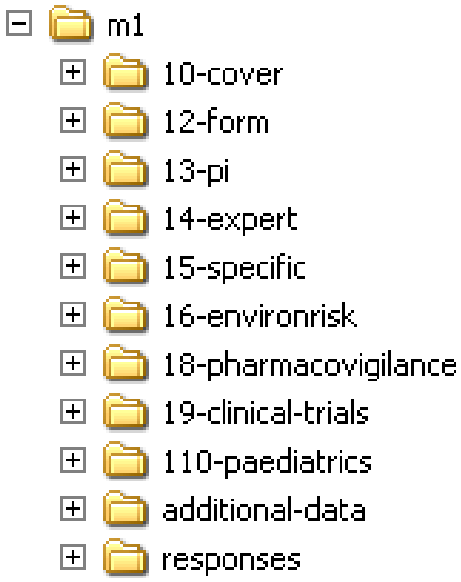
This section will include commented examples to show the transition/migration of eCTD v3.2.2 messages into the eCTD v4.0 format.

NOTE: Subsections will be added as ICH defines the various compatibility areas.]

APPENDIX 1 SAMPLE FILES AND FOLDERS FOR EU MODULE 1 LITE FOLDER STRUCTURE

Module 1

Current M1 Folder Structure



Proposed Lite M1 Folder Structure

Note: Filenames provide sufficient specificity

APPENDIX 2 SAMPLE ECTD MESSAGES

This section includes general examples on marketing authorization application and variation type 2 for illustartion.

Marketing Authorization application

```
<?xml version="1.0" encoding="UTF-8"?>
<!-- ================================================================== -->
<!-- ====================== Reference Instance for EU ================== -->
<!-- ================================================================== -->
<PORP_IN000001UV ITSVersion="XML_1.0" xsi:schemaLocation="urn:hl7-org:v3
RPS_FlatSchema_Jan2012Ballot.xsd" xmlns="urn:hl7-org:v3"
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance">
    <id root="MessageID"/>
    <creationTime/>
    <interactionId/>
    <processingCode/>
    <processingModeCode/>
    <acceptAckCode/> =
    <receiver typeCode="RCV">

    </receiver>
    =<sender typeCode="SND">
    </sender>
    =<controlActProcess classCode="ACTN" moodCode="EVN">
<!-- ================================================================== -->
<!-- classCode is required and has options of CACT, INFO, ACTN, STC Which is appropriate for eCTD purpose ?
-->
<!-- ================================================================== -->
     =<subject typeCode="SUBJ">
    <!-- Submission Unit =The classCode is fixed to “ACT” and moodCode is fixed to “EVN”. .-->
    <!-- These values are not required in the XML message.-->
    <!-- The SubmissionUnit element indicates the information about an .-->
    <!-- individual eCTD v4.0 XML message – i.e., only one submission unit can be sent at a time.-->
     =<submissionUnit>
        <!-- This is the root attribute that uniquely identifies the submission -->
         <id root="87454521=9874=6541=1236=159842345687"/>
        <!--The Submission Unit code is provided to indicate the type of submission unit being submitted.-->
        <!-- Note: that all submissions referenced in the message will have the same submission unit code
value.-->
         <code code="SubmissionUnit code" codeSystem="Submission Code System OID"/>
        <title value="Submission Unit Description in EU"/>
        <statusCode code="active"/> =
        <callBackContact typeCode="CALLBCK">
```

```
=<contactParty>
<!== ========================================================== ==>
<!-- ContactParty can be provided for each contact in a Submission and the following elements . -- >
<!-- and attributes are required when the ContactParty element is provided: -- >
<!-- An id@root should be provided to uniquely identify the point of contact(s) for a submission. -->
<!-- Note: The id element will be used when a contact needs to be removed as a submission contact. -->
<!-- UUID is a hexadecimal digit in the form of 8=4=4=4=12, . -->
<!-- including 32 digits abd 4 hyphens <id root="UUID for ContacParty" -->
<!== ========================================================== ==>
      <id root="32568794-1234-5467-9874-123654789874" identifierName="Mycontact"/>
<!== ========================================================== ==>
<!-- The code is provided for the type of contact for the company for the ContactParty.code@code -->
<!-- The ContactParty.code@codeSystem should be provided for the code associated with ContactParty-->
<!-- OID is a sequence of numbers that are uniquely identifying an object and -->
<!-- represent a hierarchically=assigned namesapce. string of digits separated by commas -->
<!-- The HL7 France affiliate organization (which has OID root 2.16.840.1.113883.2.8) allocates -->
<!-- OIDs to its member organizations upon request. -->
<!-- There is no known country=specific OID registry -->
<!== ========================================================== ==>
   <code code="c2125" codeSystem="contactParty Event Code System OID"/>
<!== The statusCode@code should have the value active when sending a contact for the first time, -->
<!-- or if there has been a change. All contact information should be sent for updated – i.e., -->
<!-- not just the information that has changed. The system will overwrite the existing -->
<!-- information with the new content. ==>
<!== ========================================================== ==>
   <statusCode code="active"/>
   =<contactPerson>
   =<id>
      <item root="Globally unique contact ID"/>
   </id>
   =<name xsi:type="BAG_EN">
      =<item>
         <part value="Richard" type="GIV"/>
         <part value="Dumont" type="FAM"/>
      </item>
   </name>
<!== ========================================================== ==>
<!== the name element is provided to indicate the name of the point of contact. The name should be provided
with two parts, one for the given (type=GIV), or first name and one for the family (type=FAM), or last name. The
telecom element is provided to indicate all relevant phone (tel:) and email (mailto:) contact information and include
the item@use attribute to indicate the type of phone number (e.g., WP=Work Phone, MC=Mobile contact; Note:
these values are maintained by HL7). Multiple telecom.item elements shall be used to provide each value. ==>
   <!== ========================================================== ==>
   =<telecom xsi:type="BAG_TEL">
   <item value="tel: +33 1 55 87 31 80" use="WP"/>
   <item value="tel: +33 6 25 30 31 80" use="MC"/>
```

```
        <item value="mailto:richard.dumont@pharmacompany.com"/>
        </telecom>
            =<asAgent classCode="AGNT">
                =<representedOrganization>
                    =<name xsi:type="BAG_EN">
                        =<item>
                            <part value="Organization name"/>
                        </item>
                    </name>
                </representedOrganization>
            </asAgent>
        </contactPerson>
    </contactParty>
</callBackContact>
=<subject>
    <!== Category Event ==>
     =<categoryEvent>
        <code code="Category Event Code" codeSystem="Category Event Code System OID"
codeSystemName="Category Event Code System Name"/>
    </categoryEvent>
</subject>
=<component>
    <priorityNumber value="1"/>
    <!== ========================================================== ==>
    <!== A UUID is a 16=byte (128=bit) number.. In its canonical form, a UUID is represented by 32 -->
    <!-- hexadecimal digits, displayed in five groups separated by hyphens, in the form 8=4=4=4=12-->
    <!-- for a total of 36 characters (32 digits and four hyphens) -->
    <!== ========================================================== ==>
     =<contextOfUse> <id root="12345678=1234=5678=3456=127536489712"/>
        =<code codeSystem="Code system OID for Cover Letter" code="m10cover"> <displayName
value="1.0 Cover Letter"/>
            </code>
                <title value="1.0 Cover Letter"/>
            <!== ========================================================== ==>
             <!== CTD Heading status ==>
            <!== ========================================================== ==>
             <statusCode code="active"/>
            <setId root="set ID"/>
            <versionNumber value="1.0"/>
            =<primaryInformationRecipient>
            <!== Specific Health Authority and/or country to which this CoU is for (if needed to be specified) ==>
             =<territorialAuthority>
                =<territory>
                    <code codeSystem="country code system OID" code="DE" codeSystemName="country code
system name"/>
                </territory>
```

```
                =<governingAuthority>
                    <id root=DE=BFARM" extension=cover=letter"/>
                        =<name>
                            <part code=DE=BFARM" value=BFARM"/>
                            <part code=FR=AFSSAPS" value=AFSSAPS"/>
                            <part code=NL=MEB" value=MEB"/>
                        </name>
                </governingAuthority>
            </territorialAuthority>
        </primaryInformationRecipient>
    <!== ========================================================== ==>
    <!== Lifecycle Operation (replace) the sequelTo is used for tracking the lifecycle of context of uses ==>
    <!==The RelatedContextOfUse is used to connect one context of use with another. .==>
    <!== ========================================================== ==>
        =<sequelTo typeCode=RPLC">
    <!== ========================================================== ==>
    <!== the relatedContextOfUse is linked by the sequelTo element, which follows the ContextOfUse element.==>
    <!== The RelatedContextOfUse element provides the sender the ability to relate two contexts of use elements
==>
    <!== ========================================================== ==>
            =<relatedContextOfUse>
    <!== This is the root element that provides the global unique identifier for the RelatedContextOf Use element
==>
                <id root=87454521=9874=6541=1236=159842345687"/>
    <!== The version number indicates which version of the ContextOfUse is being related. ==>
                <versionNumber value=1"/>
            </relatedContextOfUse>
        </sequelTo>
        =<derivedFrom>
            =<documentReference>
                <id root=12345678=1234=1234=1234=198765432198" extension=12345"/>
            </documentReference>
        </derivedFrom>
    =<subjectOf>
    <!== The SubmissionReference element is used to indicate when a ContextOfUse is not relevant to a specific
Submission within a submissionUnit.==>
        =<submissionReference>
            =<id xsi:type=DSET_II">
                <item root=12345678=1234=5678=3456=127536489712"/>
            </id>
        </submissionReference>
    </subjectOf>
</contextOfUse>
</component>
=<component>
    <priorityNumber value=1"/>
```

```
2618        =<contextOfUse>
2619          <id root="Context of Use ID"/>
2620           =<code codeSystem="Code system OID for Application Form" code="m12form">
2621             <displayName value="1.2 application form"/>
2622          </code>
2623             <title value="1.2 application form"/>
2624           <statusCode code="active"/>
2625          <setId root="set ID"/>
2626        <versionNumber value="1.0"/>
2627        =<primaryInformationRecipient>
2628        <!== Specific Health Authority and/or country to which this CoU is for (if needed to be specified) ==>
2629         =<territorialAuthority>
2630            =<territory>
2631              <code codeSystem="country code system OID" code="DE" codeSystemName="country code system
2632    name"/>
2633          </territory>
2634          =<governingAuthority> <id root="82586972=1254=2356=213698547123"/>
2635             =<name>
2636               <part code="DE=BFARM" value="BFARM"/>
2637               <part code="FR=AFSSAPS" value="AFSSAPS"/>
2638               <part code="NL=MEB" value="MEB"/>
2639             </name>
2640          </governingAuthority>
2641        </territorialAuthority>
2642    </primaryInformationRecipient>
2643    =<derivedFrom>
2644        =<documentReference> <id root="12121212=1234=1234=1234=98765432198" extension="23456"/>
2645        </documentReference>
2646    </derivedFrom>
2647    </contextOfUse>
2648    </component>
2649    =<component>
2650        <priorityNumber value="1"/>
2651         =<contextOfUse> <id root="Context of Use ID"/>
2652           <!== CTD Heading ==>
2653              =<code codeSystem="Code system OID for Quality Overall Summary" code="m23qos">
2654                <displayName value="2.3 Quality Overall Summary"/>
2655             </code>
2656             <title value="2.3 Quality Overall Summary"/>
2657              <statusCode code="active"/>
2658             <setId root="set ID"/>
2659             <versionNumber value="1.0"/>
2660              =<primaryInformationRecipient>
2661             <!== Specific Health Authority and/or country to which this CoU is for (if needed to be specified) ==>
2662                =<territorialAuthority>
2663               =<territory>
```

```
                    <code codeSystem="country code system OID" code="DE" codeSystemName="country code
system name"/>
                </territory>
                    =<governingAuthority>
                        <id root="82586972-1254-2356-213698547123"/>
                            =<name>
                                <part code="DE-BFARM" value="BFARM"/>
                                <part code="FR-AFSSAPS" value="AFSSAPS"/>
                                <part code="NL-MEB" value="MEB"/>
                            </name>
                    </governingAuthority>
                </territorialAuthority>
            </primaryInformationRecipient>
            =<derivedFrom>
                =<documentReference>
                    <id root="23232323-1234-1234-1234-98765432198" extension="34567"/>
                </documentReference>
            </derivedFrom>
        </contextOfUse>
    </component>
    =<component>
        <priorityNumber value="1"/>
         =<contextOfUse> <id root="Context of Use ID"/>
            <!-- CTD Heading -->
             =<code codeSystem="Code system OID for Manufacturer" code="m32s2manuf">
            <displayName value="3.2.S.2 Manufacturer"/>
            </code>
                <title value="3.2.S.2 Manufacture"/>
                <!-- ================================================= -->
                <!-- CTD Heading status -->
                <!-- ================================================= -->
             <statusCode code="active"/>
                <setId root="set ID"/>
                <versionNumber value="1.0"/>
            =<primaryInformationRecipient>
            <!-- Specific Health Authority and/or country to which this CoU is for (if needed to be specified) -->
                 =<territorialAuthority>
                    =<territory>
                        <code codeSystem="country code system OID" code="DE" codeSystemName="country code
system name"/>
                    </territory>
                    =<governingAuthority>
                        <id root="82586972-1254-2356-213698547123"/>
                        =<name>
                            <part code="DE-BFARM" value="BFARM"/>
                            <part code="FR-AFSSAPS" value="AFSSAPS"/>
```

```
                        <part code="NL-MEB" value="MEB"/> </name>
                    </governingAuthority>
                </territorialAuthority>
            </primaryInformationRecipient>
            =<derivedFrom>
                =<documentReference>
                    <id root="32323232-1234-1234-1234-98765432198" extension="45678"/>
                </documentReference>
            </derivedFrom>
            =<referencedBy>
                =<keyword>
                    <!-- Context of Use Keyword type (e.g. manufacturer) -->
                     =<code codeSystem="Company-OID for manufacturer" code="MANU001">
                    <!-- Context of Use Keyword value -->
                     <displayName value="Hillside Manufacturer"/>
                    </code>
                    <statusCode code="active"/>
                </keyword>
            </referencedBy>
        </contextOfUse>
    </component> =
    <component>
    <priorityNumber value="1"/>
        <!-- ========================================================== -->
         =<contextOfUse> <id root="Context of Use ID"/>
        <!-- CTD Heading -->
         =<code codeSystem="Code system OID for Manufacturer" code="m32s2manuf">
            <displayName value="3.2.S.2 Manufacturer"/>
        </code> <title value="3.2.S.2 Manufacture"/>
        <!-- ========================================================== -->
        <!-- CTD Heading status -->
        <!-- ========================================================== -->
         <statusCode code="active"/>
        <setId root="set ID"/>
        <versionNumber value="1.0"/>
        =<primaryInformationRecipient>
        <!-- Specific Health Authority and/or country to which this CoU is for (if needed to be specified) -->
             =<territorialAuthority>
                =<territory>
                    <code codeSystem="country code system OID" code="DE" codeSystemName="country code
system name"/>
                </territory>
            =<governingAuthority>
            <id root="82586972-1254-2356-213698547123"/>
            =<name>
                <part code="DE-BFARM" value="BFARM"/>
```

```
                <part code=FR=AFSSAPS" value="AFSSAPS"/>
                <part code="NL=MEB" value="MEB"/> </name>
            </governingAuthority>
        </territorialAuthority>
    </primaryInformationRecipient>
    =<derivedFrom>
        =<documentReference>
            <id root="12345678=1234=1234=1234=98765432198" extension="56789"/>
        </documentReference>
    </derivedFrom>
    =<referencedBy>
        =<keyword>
        <!== Context of Use Keyword type (e.g. manufacturer) ==>
            =<code codeSystem="Company=OID for manufacturer" code="MANU001">
            <!== Context of Use Keyword value ==>
                <displayName value="Context of use Keyword value"/>
            </code>
            <statusCode code="active"/>
        </keyword>
    </referencedBy>
</contextOfUse>
</component>
=<componentOf>
<!== ========================================================================== ==>
<!== The sequenceNumber provides the sequence in a Submission for the SubmissionUnit being submitted. ==>
<!== It is always required. It is always unique within an application. The sequenceNumber.value ==>
<!== should include 6=digits – i.e., the sender should pad the value with zeros so that there is ==>
<!== no question about the number sequence. The sequenceNumber.value is a non=negative integer →
<!== (i.e., non=negative whole number) ==>
<!== ========================================================================== ==>
    <sequenceNumber value="000067"/>
        =<reviewableUnit> =<id> <item root="12345678=1234=1234=1234=123456789012"
extension="de=xxx=021"/> </id>
        <code code="Code for the reviewable unit"/>
        <statusCode code="active"/>
    =<componentOf>
        =<submission>
        <!== Submission ID ==>
            =<id> <item root="Globally unique submission ID" extension="Regionally defined submission ID"/>
</id>
            <!== ========================================================== ==>
            <!== Submission Type ==>
            <!== The Submission code is provided to indicate the regulatory activity/ ==>
            <!== submission type being submitted, e.g. Marketing authorisation application==>
            <!== ========================================================== ==>
```

```
            <code codeSystem="Submission Type Code system OID" code="maa" codeSystemName="Submission
Type Code system Name"/>
            =<callBackContact>
               =<contactParty> <id root="Contact Party ID"/>
               <statusCode code="active"/>
               =<contactPerson>
                  =<id>
                     <item root="Contact Person ID"/>
                  </id>
=                 <name xsi:type="BAG_EN">
                     =<item>
                        <part value="Jean Petit"/>
                        <part value="Pharmacist"/>
                     </item>
                  </name>
                  =<telecom xsi:type="BAG_TEL">
                     <!== value : data, voice, fax, tty, sms, no email address ==>
                     <item value="+33155873180" capabilities="voice"/>
                     <item value="+33155873172" capabilities="fax"/>
                  </telecom>
               =<addr xsi:type="BAG_AD">
                  =<item xsi:type="AD">
                     <part value="93285" type="ZIP"/>
                     <part value="143=147 Bld Anatole France" type="STR"/>
                     <part value="Saint=Denis" type="CTY"/>
                  </item>
               </addr>
               =<asAgent classCode="AGNT">
               =<representedOrganization determinerCode="INSTANCE" classCode="ORG">
                  =<id>
                     <item root=""/>
                  </id>
                  <name xsi:type="LIST_EN"/>
                  <telecom xsi:type="LIST_TEL"/>
                  <addr xsi:type="LIST_AD"/>
               </representedOrganization>
            </asAgent>
         </contactPerson>
      </contactParty>
   </callBackContact>
   =<subject1>
      =<mode>
         <id root="Globally unique review ID" extension="regionally defined review ID"/>
         <code code="single"/>
      </mode>
   </subject1>
```

```
<subject2>
  <review>
    <id/> <statusCode code="active"/>
  <subject1>
  <!== to have multiple product name (e.g. Reactolin Germany, Vital in NL and Vitol in France ==>
   <manufacturedProduct>
    <id/>
    <manufacturedProduct>
      <asNamedEntity>
        <assigningTerritory>
          <code code="DE"/>
          <name>
          <!== Product name type and value==>
           <part language="de" value="Reactol Tabl"/>
          </name>
        </assigningTerritory>
      </asNamedEntity>
      <ingredient>
      <activeIngredientSubstance>
        <name>
          <!==Substance name type and value==>
           <part codeSystem="Active ingredient code system OID" code="IND01" value="Pioglitazone"/>
          <part codeSystem="Active ingredient code system OID" code="IND02" value="hydrochloride"/>
        </name>
      </activeIngredientSubstance>
    </ingredient>
  </manufacturedProduct>
</manufacturedProduct>
</subject1>
<subject1>
  <manufacturedProduct>
    <id/>
    <manufacturedProduct>
      <asNamedEntity>
        <assigningTerritory>
          <code code="NL"/>
          <name>
            <part language="nl" value="Vital Tabl"/>
          </name>
        </assigningTerritory>
      </asNamedEntity>
      <ingredient>
        <activeIngredientSubstance>
          <name>
           <part codeSystem="Active ingredient code system OID" code="IND01" value="Pioglitazone"/>
          <part codeSystem="Active ingredient code system OID" code="IND02" value="hydrochloride"/>
```

```
                    </name>
                </activeIngredientSubstance>
            </ingredient>
        </manufacturedProduct>
    </manufacturedProduct>
</subject1>
=<subject1>
    =<manufacturedProduct>
        <id/>
        =<manufacturedProduct>
            =<asNamedEntity>
                =<assigningTerritory>
                    <code code="FR"/>
                    =<name>
                        <part language="fr" value="Vitol Tabl"/>
                    </name>
                </assigningTerritory>
            </asNamedEntity>
            =<ingredient>
                =<activeIngredientSubstance>
                    =<name>
                     <part codeSystem="Active ingredient code system OID" code="IND01" value="Pioglitazone"/>
                    <part codeSystem="Active ingredient code system OID" code="IND02" value="hydrochloride"/>
                    </name>
                </activeIngredientSubstance>
            </ingredient>
        </manufacturedProduct>
    </manufacturedProduct>
</subject1>
 =<holder>
    =<applicant>
        =<sponsorOrganization>
            =<name xsi:type="BAG_EN">
                =<item>
<!== ================================================================== ==>
<!== Applicant if applied to review level==>
<!== DUNS number as suggested by EudraDMP" the code ="888528" is the DUNS number foo the company ==>
<!== ================================================================== ==>
                    <part code="888528" value="PharmaCompany" codeSystemVersion="OID for Duns"/>
                </item>
            </name>
            =<telecom xsi:type="BAG_TEL">
                <item value="tel: +33 1 55 87 31 80" use="WP"/>
                <item value="tel: +33 6 25 30 31 80" use="MC"/>
                <item value="mailto:richard.dumont@pharmacompany.com"/>
            </telecom>
```

```
            =<addr xsi:type="BAG_AD">
                =<item xsi:type="AD">
                    <part value="93285" type="ZIP"/>
                    <part value="143=147 Bld Anatole France" type="STR"/>
                    <part value="Saint=Denis" type="CTY"/>
                </item>
            </addr>
        </sponsorOrganization>
    </applicant>
</holder>
=<author>
    =<territorialAuthority>
    <!== Recipient review authority's country if applied to review level ==>
     =<territory>
        <code codeSystem="Country Code system OID" code="FR"/>
    </territory>
        =<governingAuthority>
            =<name>
            <!== Recipient review authority ==>
                <part codeSystem="Authority Code system OID" code="AFSSAPS" value="Agence Francaise de
Securite Sanitaire des Produits de Sante"/>
            </name>
        </governingAuthority>
    </territorialAuthority>
</author>
=<subject2>
    =<productCategory>
        <!== Product Category ==>
         <code codeSystem="ProductCategory Code system OID" code="chemical"/>
    </productCategory> </subject2> </review> </subject2>
=<subject3>
    <!== The RegulatoryReviewTime codes provide the specific review timelines for certain submission types ==>
     =<regulatoryReviewTime>
        <code codeSystem="OID Extended Time in case of Type II variations" code="90"/>
    </regulatoryReviewTime>
</subject3>
=<subject4>
    =<regulatoryStatus>
        =<code code="100000072097">
        <displayName value="Application for Marketing Authorisation received."/>
        </code>
    </regulatoryStatus>
</subject4>
=<subject5>
    =<submissionGroup>
        <id root="UUID of the SubmissionGroup" extension="0987.997"/>
```

```
    </submissionGroup>
</subject5>
=<componentOf>
    =<application>
    =<id>
    <!== Application ID ============================================== ==>
    <!== Should EU use this item to store the number used by an agency to track the submission, in any procedure,
in relation to a particular product. ==>
    <!== This could be a MRP Number, the EMEA application number, or any other number used by an agency to
track a submission.============ ==>
    <!== ================================================================ ==>
        <item root=12345678=1234=1234=1234=123456789012"/>
        <item extension=2134599=de"/>
        <item extension=348309=fr"/>
        <item extension=39992912=nl"/>
    </id>
    <code codeSystem="OID for the Application Type" code=de=0124=001"/>
=<holder>
    =<applicant>
        =<sponsorOrganization>
            =<name xsi:type="BAG_EN">
                =<item>
                <!== ========================================================= ==>
                <!== Applicant if applied to review level==>
                <!== DUNS number as suggested by EudraGMP. the code ="888528" is the DUNS number for the
sponsor PharmaCompany ==>
                <!== ========================================================= ==>
                <part code="888528" value="PharmaCompany" codeSystemVersion="OID for DUNS"/>
                </item>
            </name>
            =<telecom xsi:type="BAG_TEL">
            <item value="tel: +33 1 55 87 31 80" use="WP"/>
            <item value="tel: +33 6 25 30 31 80" use="MC"/>
            <item value="mailto:richard.dumont@pharmacompany.com"/>
            </telecom>
            =<addr xsi:type="BAG_AD">
                =<item xsi:type="AD">
                <part value="93285" type="ZIP"/>
                <part value="143=147 Bld Anatole France" type="STR"/>
                <part value="Saint=Denis" type="CTY"/>
                </item>
            </addr>
        </sponsorOrganization>
    </applicant>
</holder>
=<informationRecipient>
```

```
    =<territorialAuthority>
        =<territory>
            <code code=="FR"/>
        </territory>
        =<governingAuthority>
            <id root="52345678=1234=1234=1234=12345678901"/>
            =<name>
                <part code="FR=AFSSAPS" value="AFSSAPS"/>
            </name>
        </governingAuthority>
    </territorialAuthority>
</informationRecipient>
=<informationRecipient>
    =<territorialAuthority>
        =<territory>
            <code code="NL"/>
        </territory>
        =<governingAuthority>
            <id root="62345678=1234=1234=1234=12345678901"/> =
            <name>
                <part code="NL=MEB" value="MEB"/>
             </name>
        </governingAuthority>
    </territorialAuthority>
</informationRecipient>
=<informationRecipient>
    =<territorialAuthority>
        =<territory>
            <code code="DE"/>
        </territory>
        =<governingAuthority>
            <id root="72345678=1234=1234=1234=12345678901"/>
            =<name>
                <part code="DE=BFARM" value="BFARM"/>
            </name>
        </governingAuthority>
    </territorialAuthority>
</informationRecipient>
=<subject>
    =<reviewProcedure>
        <code codeSystem="code system MRP" code="DE/H/0126/001/MR"/>
    </reviewProcedure>
</subject>
=<reference>
    =<applicationReference>
        <id root="UUID identifying the submission unit"/>
```

```
        =<reasonCode>
        <!== Reference medicinal product chosen for the demonstration of bioequivalence ==>
            <item code="BE"/>
        </reasonCode>
    </applicationReference>
</reference>
=<component>
    =<document>
        <id root="Globally unique document ID" extension="34567"/>
        <code code="code for the type of application"/>
        <title value="Cover Letter"/>
        =<text language="en" integrityCheckAlgorithm="SHA256">
            <reference value="../../m1/eu/10=cover/de=cover.pdf" xsi:type="TEL"/>

    <integrityCheck>39bd11dc87c42f2f15dab6f1eedaf83b2b91703c145c349cd944866c177581</integrityCheck>
        </text>
        <statusCode code="active"/>
        <setId root="Globally unique document set ID"/>
        <versionNumber value="1"/>
    </document>
</component>
=<component>
    =<document>
        <id root="Globally unique document ID" extension="89012"/>
        <code code="code for the type of application"/>
        <title value="Form"/>
        =<text language="en" integrityCheckAlgorithm="SHA256">
            <reference value="../../m1/eu/10=form/de=form.pdf" xsi:type="TEL"/>

    <integrityCheck>c8d6e7c9df15815a50623ceb638cdf7c1b468c923078db351121b973d8351</integrityCheck>
        </text>
        <statusCode code="active"/>
        <setId root="Globally unique document set ID"/> <versionNumber value="1"/>
    </document>
</component>
=<component>
    =<document>
        <id root="Globally unique document ID" extension="34567"/>
        <code code="code for the type of application"/> <title value="QOS=Add"/>
        =<text language="en" integrityCheckAlgorithm="SHA256">
            <reference value="../../m2/23=qos/qos.pdf" xsi:type="TEL"/>

    <integrityCheck>ec28b2b8b6db40b8d6590b1d2c395f35214e681959adba2b93cd5b9558a8</integrityCheck>
        </text>
        <statusCode code="active"/>
        <setId root="Globally unique document set ID"/>
```

```
3123            <versionNumber value="1"/>
3124        </document>
3125    </component>
3126    =<component>
3127        =<document>
3128            <id root="Globally unique document ID" extension="89123"/>
3129            <code code="code for the type of application"/>
3130            <title value="Manuf New"/>
3131            <text language="en" integrityCheckAlgorithm="SHA256">
3132                <reference value="../../m3/32=body=data/32s=drug=sub/32s2=manuf/manufacturer.pdf"
3133    xsi:type="TEL"/>
3134
3135        <integrityCheck>39f2fda4742070a454ff91b9191f2d34dfca973ef6b0e6c65a0663a91f5c28</integrityCheck>
3136            </text>
3137            <statusCode code="active"/>
3138            <setId root="Globally unique document set ID"/>
3139            <versionNumber value="1"/>
3140        </document>
3141    </component>
3142    =<component>
3143        =<document>
3144            <id root="Globally unique document ID" extension="45612"/>
3145            <code code="code for the type of application"/>
3146            <title value="Validation New"/>
3147            =<text language="en" integrityCheckAlgorithm="SHA256">
3148                <reference value="../../m3/32=body=data/32s=drug=sub/32s2=manuf/process=validation.pdf"
3149    xsi:type="TEL"/>
3150
3151        <integrityCheck>e409e62ab35e31da185a9971cc876d0cca59ce78b9f1d3fd7a3d3dae0a890</integrityCheck>
3152            </text>
3153            <statusCode code="active"/>
3154            <setId root="Globally unique document set ID"/>
3155            <versionNumber value="1"/>
3156        </document>
3157    </component>
3158    =<referencedBy>
3159        <!== ================================================== ==>
3160        <!==Keyword Definition ========================================== ==>
3161        <!==Keyword Definition elements will be coded values and require the following attributes ==>
3162        <!== code@code, code@codeSystem, @statusCode@code, value.item.displayName@value ==>
3163        <!== ==========================================0========== ==>
3164        =<keywordDefinition>
3165            <code codeSystem="ICH=OID=KeywordType" code="ICH=manufacturer=001"/>
3166            <statusCode code="active"/>
3167            =<value>
3168                =<item code="MANU001">
```

```
                <displayName value="Hillside Manufacturer"/>
            </item>
        </value>
        =<replacementOf typeCode="RPLC">
            =<previousKeywordDefinition>
            <code codeSystem="ICH=OID=KeywordType" code="ICH=manufacturer=002"/>
                =<value>
                    =<item code="MANU002">
                        <displayName value="Mountainside Manufacturer"/>
                    </item>
                </value>
            </previousKeywordDefinition>
        </replacementOf>
    </keywordDefinition>
</referencedBy>
</application>
</componentOf>
</submission>
</componentOf>
</reviewableUnit>
</componentOf>
</submissionUnit>
</subject>
</controlActProcess>
</PORP_IN000001UV>
```

Variation type 2

```
    <id root="87454521-9874-6541-1236-159842345687" />
    <code code="var-type2" codeSystem="Submission Code System OID" />
        <title value="Variation Type II" />
        <statusCode code="active" />

  - <review>
        <id />
        <statusCode code="active" />
          - <holder>
            - <applicant>
                - <sponsorOrganization>
                  - <name xsi:type="BAG_EN">
                    - <item>
                        <part value="PharmaCompany" code="888528" codeSystemVersion="OID for
Duns" />
                    </item>
                  </name>
                - <telecom xsi:type="BAG_TEL">
```

```
                        <item value="tel: +33 1 55 87 31 80" use="WP" />
                        <item value="tel: +33 6 25 30 31 80" use="MC" />
                        <item value="mailto:richard.dumont@pharmacompany.com" />
                    </telecom>
                - <addr xsi:type="BAG_AD">
                    - <item xsi:type="AD">
                        <part type="ZIP" value="93285" />
                        <part type="STR" value="143-147 Bld Anatole France" />
                        <part type="CTY" value="Saint-Denis" />
                    </item>
                </addr>
            </sponsorOrganization>
        </applicant>
    </holder>
- <author>
    - <territorialAuthority>
        - <territory>
            <code code="FR" codeSystem="Country Code system OID" />
        </territory>
        - <governingAuthority>
            - <name>
                <part code="AFSSAPS" value="Agence Francaise de Securite Sanitaire des Produits de
Sante" codeSystem="Authority Code system OID" />
            </name>
        </governingAuthority>
    </territorialAuthority>
</author>
- <subject2>
    - <productCategory>
        <code code="chemical" codeSystem="ProductCategory Code system OID" />
    </productCategory>
</subject2>
</review>


- <callBackContact typeCode="CALLBCK">
    - <contactParty>
        <id root="32568794-789874" identifierName="Mycontact" />
<code code="c2125" codeSystem="contactParty Event Code System OID" />
        <statusCode code="active" />
    - <contactPerson>
        - <id>
            <item root="Globally unique contact ID" />
        </id>
    - <name xsi:type="BAG_EN">
    - <item>
```

```
                <part value="Richard" type="GIV" />
                <part value="Dumont" type="FAM" />
              </item>
              </name>
            - <telecom xsi:type="BAG_TEL">
                <item value="tel: +33 1 55 87 31 80" use="WP" />
                <item value="tel: +33 6 25 30 31 80" use="MC" />
                <item value="mailto:richard.dumont@pharmacompany.com" />
              </telecom>
          - <asAgent classCode="AGNT">
            - <representedOrganization>
              - <name xsi:type="BAG_EN">
              - <item>
                <part value="Organization name" />
                </item>
                </name>
              </representedOrganization>
            </asAgent>
        </contactPerson>
    </contactParty>
    </callBackContact>
  - <component>
        <priorityNumber value="1" />
  - <contextOfUse>
        <id root="12345678-1234-5678-3456-127536489712" />
        - <code code="m10cover" codeSystem="Code system OID for Cover Letter">
            <displayName value="1.0 Cover Letter" />
          </code>
          <title value="1.0 Cover Letter" />
          <statusCode code="active" />
          <setId root="set ID" />
          <versionNumber value="1.0" />
      - <primaryInformationRecipient>
          - <territorialAuthority>
            - <territory>
                <code code="DE" codeSystem="country code system OID" codeSystemName="country code
system name" />
              </territory>
              - <governingAuthority>
                  <id root="DE-BFARM" value="BFARM" />
                </governingAuthority>
              </territorialAuthority>
          </primaryInformationRecipient>
          - <sequelTo typeCode="RPLC">
            - <relatedContextOfUse>
                <id root="87454521-9874-6541-1236-159842345687" />
```

```
                <versionNumber value="1" />
              </relatedContextOfUse>
            </sequelTo>
          - <derivedFrom>
            - <documentReference>
                <id root="12345678-1234-1234-1234-198765432198" extension="12345" />
              </documentReference>
            </derivedFrom>
          - <subjectOf>
            - <submissionReference>
              - <id xsi:type="DSET_II">
                <item root="12345678-1234-5678-3456-127536489712" />
                </id>
              </submissionReference>
            </subjectOf>
        </contextOfUse>
    </component>
  - <component>
        <priorityNumber value="1" />
  - <contextOfUse>
        <id root="Context of Use ID" />
          - <code code="m12form" codeSystem="Code system OID for Application Form">
            <displayName value="1.2 application form" />
            </code>
            <title value="1.2 application form" />
            <statusCode code="active" />
            <setId root="set ID" />
            <versionNumber value="1.0" />
          - <primaryInformationRecipient>
....
            </primaryInformationRecipient>
            - <derivedFrom>
              - <documentReference>
                <id root="12121212-1234-1234-1234-98765432198" extension="23456" />
              </documentReference>
            </derivedFrom>
        </contextOfUse>
    </component>
  - <componentOf>
```

APPENDIX 3 ABBREVIATIONS, TERMS AND DEFINITIONS

The following table defines some common terms in this document and specific to eCTD v4.0. This is not a complete listing,

Term	Definition
Applicant	A pharmaceutical company or its agent that is submitting information in support of an application.
Applicant's Information	Regulatory information submitted by an applicant for, or to maintain, a marketing authorisation that falls within the scope of this guidance document.
eCTD Application	A collection of electronic documents compiled by a pharmaceutical company or its agent in compliance with European legislation and guidelines in order to seek a marketing authorisation or any amendments thereof. An eCTD application may comprise a number of submissions and submission units. In the EU an eCTD application may comprise several dosage forms and strengths, all under one invented product name. This is understood to be equivalent to a Global Marketing Authorisation according to Art. 6 para 2 Dir. 2001/83/EC as amended. Some review tools describe such a collection as a dossier.
Procedure	A Community registration procedure for the authorisation of medicinal products in the European Community. There a 4 types of procedure that operate within the EC – Centralised, Decentralised, Mutual Recognition and National.
Regulatory Activity	A collection of sequences covering the start to the end of a specific business process, e.g. an initial MA application or Type II variation. It is a concept used in some review tools to group together several business related sequences.
Submission Unit	A single set of information and / or electronic documents supplied at one particular time by the applicant as a part of, or the complete, eCTD Application. In the context of eCTD, this is equivalent to a sequence.
Document	See ICH IG
Simple Document	See ICH IG
Compound Document	See ICH IG
Payload	See ICH IG

APPENDIX 4 REFERENCES

[This section will include references to procedures described in the IG (e.g., The SHA256 Message-Digest Algorithm).