



EUROPEAN MEDICINES AGENCY
SCIENCE MEDICINES HEALTH

eSubmission Gateway and Web Client – Training on the use of XML delivery files

Webinar training on v2.0 – updated system reflecting EU M1 specification v3.0





Outline of Today's training session

- eSubmission Gateway and Web Client background and latest news
- Benefits of using XML delivery file
- eCTD EU Module 1
- Scope of the system
- How to create a delivery file
- Create delivery file screen DEMO / details
- Filenaming
- How to include delivery file in the submission
- Submission using the web client
- How to avoid problems
- Good to know
- Gateway website
- Gateway support
- Useful links



eSubmission Gateway and Web Client background and latest news (1/2)

- The eSubmission Gateway and the [eSubmission Web Client](#) are electronic submission channels that allow the applicants to submit documents supporting all types of applications for human and veterinary medicines to the Agency securely over the internet
- The EMA is now extending the use of XML delivery files for majority of procedure types following a successful pilot started in May 2016
- The XML delivery files are replacing filenameing conventions for eSubmission Gateway. Delivery files are used to provide submission 'metadata' to allow automated feedback to the applicant on the status of the technical validation, the upload to the EMAs review system and sharing the submissions with the network via the Common Repository and PSUR Repository
- The use of XML delivery files is now strongly recommended for all* submission types

*where available



eSubmission Gateway and Web Client background and latest news (2/2)

- This updated version of the XML delivery file creation user interface complies with the updated eCTD EU Module 1 specification which introduces concept of 'submission type' and 'submission unit'
- The delivery files should be used for all submissions provided in eCTD following the new EU M1 specification from July 2016. **The delivery files** should also be used for all submissions provided in the previous version of **eCTD EU M1 specification (v2.0)**
- The use of XML delivery files will become **mandatory** for all **eCTD** submissions from 1 October 2016 in line with the mandatory use of the new EU M1 specification.
- Mandatory use of the eSubmission Gateway for Veterinary submissions will commence from 1 January 2017. Mandatory use of the XML delivery file for Veterinary submissions will be communicated at later stage.
- Mandatory use of eSubmission Gateway for all Paediatric submissions is planned and will be communicated in near future.



Benefits of using XML delivery files

- Use of delivery files is implemented to improve and harmonise the submission process for all applicants;
 - There is no need use cumbersome filenaming conventions when delivery files are used
 - There is no need to include receiver and sender routing ID information in the delivery file – this will be automatically detected when the submission is sent via the Gateway (production or test)
 - Built in business rules are in place and guide the users to make correct selections
 - Product selection from EMA product database or from Art. 57 database depending on the procedure type
 - Simple, intuitive user interface
 - Reduces errors
 - Compliance with updated EU M1 specification



eCTD EU Module 1 v3.0 and v3.0.1

- Revised list of submission types and new submission unit list ([EU M1](#))

Submission type	Submission unit	Sequence number
MAA	Initial	0000
MAA	Validation-response	0001
MAA	Additional-info	0002
MAA	Responses	0003
MAA	closing	0004



Human (incl. Art. 58 WHO products)

- Annual Re-assessment
- Clinical data for publication – final version
- Clinical data for publication – redacted version
- Extension
- Lifting of suspension
- Marketing Authorisation Application (MAA)
- Notification Art. 61(3)
- Paediatric Art. 46
- Post-Authorisation Measure (pam-anx)
- Post-Authorisation Measure (pam-capa)
- Post-Authorisation Measure (pam-leg)
- Post-Authorisation Measure (pam-mea)
- Post-Authorisation Measure (pam-p46)
- Post-Authorisation Measure (pam-paes)
- Post-Authorisation Measure (pam-rec)
- Post-Authorisation Measure (pam-sda)
- Post-Authorisation Measure (pam-sob)
- Post-Auth. Safety Study protocol (Pass107q)
- Post-Auth. Safety Study report (Pass107n)
- Reformat of Dossier

- Renewal
- Risk Management Plan (RMP)
- Transfer of MA
- Urgent Safety Restriction (USR)
- Type IA variation (single and IG)
- Type IA_{IN} variation (single and IG)
- Type IB variation (single and WS)
- Type II variation (single and WS)
- Withdrawal
- Referrals
- Active Substance Master File (ASMF)
- Plasma Master File (PMF)
- PSUR for Art. 58 (WHO) products
- PSUR/PSUSA
- Paediatric submissions
- Signal detection

Currently out of scope – continued use the existing file naming conventions

- Ancillary medicinal products (medical devices)
- Pass 107q and 107n for nationally authorised products



Veterinary

- Annual Re-assessment
- Article-45
- Extension
- Lifting of suspension
- Marketing Authorisation Application (MAA)
- Post-Authorisation Measure (pam-anx)
- Post-Authorisation Measure (pam-leg)
- Post-Authorisation Measure (pam-mea)
- Post-Authorisation Measure (pam-rec)
- Post-Authorisation Measure (pam-sda)
- Post-Authorisation Measure (pam-sob)
- Post-Authorisation Safety Study (pass)
- Reformat of dossier
- Renewal
- Risk Management Plan (RMP)

- Transfer of MA
- Type IA variation (single and IG)
- Type IA_{IN} variation (single and IG)
- Type IB variation (single and WS)
- Type II variation (single and WS)
- Withdrawal
- Referrals
- Active Substance Master File (ASMF)

Currently out of scope - continued use the existing filenaming conventions

- Veterinary MRL submissions
- Veterinary PSURs

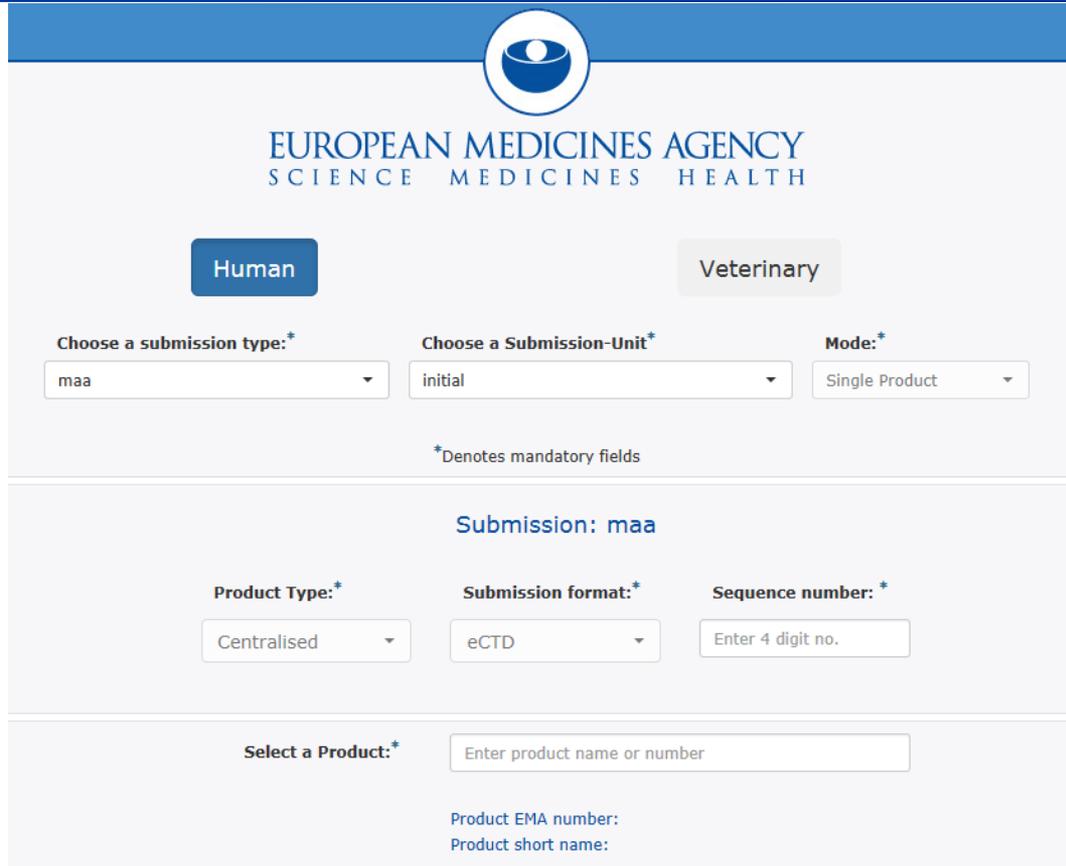


How to create a delivery file

- Each submission requires its own delivery file and submission via the eSubmission Gateway – as previously using the filenaming conventions.
- It is not possible to group eCTD format Human submissions
- No change for the submission rules
- Grouping (IG), worksharing (WS) and Referral submissions are 'linked' together using the relevant IG, WS and referral numbers – individual submissions are required for each product with individual eCTD lifecycle.

Note: for details on PSUR/PSUSA submissions for any other product but those authorised under Art. 58 (WHO) please review PSUR Repository guidance

Create delivery file screen (1/17)



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Human Veterinary

Choose a submission type:* maa
Choose a Submission-Unit* initial
Mode:* Single Product

*Denotes mandatory fields

Submission: maa

Product Type:* Centralised
Submission format:* eCTD
Sequence number:* Enter 4 digit no.

Select a Product:* Enter product name or number

Product EMA number:
Product short name:

Generate delivery file Reset form

The screen is divided into different sections:

The user will be required to complete each field in each section.

The required data input depends on the selected submission type.

Choose a submission type: [†]

maa

var

CAP

var-type1a

var-type1ain

var-type1b

var-type2

Centralised

Select the **submission type** by **typing** any part of the regulatory activity name in field or **select** the value from the **dropdown** list

Following an update of the eCTD EU M1 specification, submission type Supplemental information that was previously used for all sequential submissions, e.g. RSI, LoQ, LoOI is no longer available but the submission type and new attribute 'Submission Unit' has been added and is used together with the Submission Type indicate the status of the submission.

Depending on the selected **Submission type** available 'units' may differ for different types of applications.



Choose a Submission-Unit*

initial ▼

No selection

initial

validation-response

response

additional-info

closing

consolidating

corrigendum

reformat

Select the **submission unit** from the **dropdown** list

Following an update of the eCTD EU M1 specification, submission unit has been introduced to be used in conjunction with the submission type. Sequential submissions, e.g. RSI, LoQ, LoOI should now be sent using the same submission type as the initial submission with a relevant submission unit, for example validation-responses or responses.

Depending on the selected **Submission type** available 'units' may differ for different types of applications.

More information on the eCTD EU M1 specification is available on the [eSubmission website](#).

Choose a submission type:^{*} Choose a Submission-Unit^{*}

var-type2 response

Mode:^{*}

Single Product

Single Product

IG(grouping of variations)
WS

Depending on the selected **Submission type** available 'mode' will be different.

For majority of centralised procedure submissions submission mode is defaulted to 'single'

Business rules will guide the user to select the correct mode.

Product Type:*

Centralised ▾

Centralised

National

Submission format:*

eCTD ▾

eCTD

Nees

Other

Sequence number:*

0016

Depending on the **Submission type** and **mode** different options are available for product type. Where selection is possible, please ensure that you have selected the correct option in order to reveal the correct product selection.

Depending on the **Submission type**, **mode** and **product type** different options are available for **submission format**.

Where selection is possible, please ensure that you have selected the correct option to ensure that the submission will pass the automated technical validation upon receipt to EMA.

Where relevant, please provide the submission sequence number.

For eCTD submissions this is always the next number in the product lifecycle.

For Nees submissions, depending on the product, this may be the next number in the product lifecycle or value 0000.

For submission format 'other' you may enter 0000.

Create delivery file screen (6/17)



Select a Product:*

- Zavesca-EMEA/H/C/000435
- Zavicefta-EMEA/H/C/004027

Select a Product:*

- Aluvia-EMEA/H/W/000764
- Pyramax-EMEA/H/W/002319
- Hexaxim-EMEA/H/W/002495
- Hemoprostol-EMEA/H/W/002652
- Tritanrix HB-EMEA/H/W/003838

Generate delivery file

Select a Product:*

- Porcilis Porcoli Diluvac Forte-EMEA/V/C/000024
- Fevaxyn Pentofel-EMEA/V/C/000030
- Quadrisol-EMEA/V/C/000032
- Metacam-EMEA/V/C/000033
- Neocolipor-EMEA/V/C/000035
- Nobilis IB4-91-EMEA/V/C/000036
- Suvaxyn Aujeszky 783 + O/W-EMEA/V/C/000038

Generate delivery file

Product selection is linked to the **product type** (centralised or national) and depending on the product type a different list of products is available for selection.

Procedures containing **Centrally Authorised Products** are connected to an EMA product database, Siamed, through which all human and veterinary CAPs are retrieved. Products authorised as ancillary medical devices and under Art. 58 (WHO) are also available through the selection for 'Centralised'.

To search and select a product, start typing **any part** of the **EMA product number** or the **product name**.

For **initial MAA application** you should search for the number in format H0001234 or V0001234. For any subsequent submissions for that same procedure or for any other post-authorisation activity the product number is in format H/C and H/W or V/C for Veterinary products.

The EMA product number is available on the Eligibility confirmation letter as 'Product Reference'. The Eligibility Confirmation Letter indicates Product number e.g. H0002271 or V0001234.

This Product Number (or Product Reference) remains the same throughout the product lifecycle and it should be used regardless what type of submission is being transmitted.

Create delivery file screen (7/17)

Select a Product:*

Select a Product:*

t worksharing number:*

- ASCORBIC ACID-**PARACETAMOL** RATIOPHARM
- ASPIRIN/**PARACETAMOL**/CAFFEINE WOCKHARDT UK LTD
- BEST-IN **PARACETAMOL** EXTRA PAIN RELIEF WRAFTON LABORATORIES
- RUSCOWILL PLUS **PARACETAMOL**

Select a Product:*

✕ ASPIRIN

Procedures for **human** worksharing (WS) variations, signal detection and referrals containing **Nationally Authorised Products** are connected to XEVDMP also known as Art. 57 database.

To search and select a product, start typing any part of the **product short name**.

The product short name is the name the MAH has given for the product in Art. 57 database field 'product short name'.

When the product is selected it is added to a list under the search field.

Click anywhere on the field with the product name to extend the view to select individual products or presentations.

You can remove the product by clicking the **X** to the left of the product name.

Create delivery file screen (8/17)



Select a Product:*

✕ ASPIRIN

✕ ASPIRIN

MAH name	Product full name	Country...	Authorisation No....	EMA Product/MRP/DCP...
BAYER SRL	ASPIRIN 500 mg drajeun	RO	6006/2013/05	FR/H/0482/001
BAYER VITAL GMBH	Aspirin 500 mg überzogene Tabletten	DE	86750.00.00	FR/H/0482/001
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/01	FR/H/0482/001
M&A PHARMACHEM LTD	Dispersible Aspirin Tablets 75mg BP	UK	04077 / 0182	
CLONMEL HEALTHCARE LTD.	Aspirin 75 mg Gastro-resistant Tablets	MT	AA1045/02801	
ACTAVIS UK LTD.	Aspirin 75 mg Dispersible Tablets	IE	PA 176/15/3	
BAYER DOO	Aspirin 500 mg tablete	HR	HR-H-460897624-01	

total Items: 61

For nationally authorised products, you are able to repeat the step and add more than single entry, however, only one **'product'** should be added. Each product with a different eCTD/NeeS lifecycle requires a separate delivery file and separate submission.

Depending on the way how the MAH has entered the product in Art. 57 it may be necessary to select more than a single product short name to capture all presentations of a single product.

It is possible to sort and filter the list of products/presentations by clicking the name of the columns and by typing in the field.

MAH name	Product full name	Country...	Authorisation No....	EMA Product/MRP/DCP...
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/03	FR/H/0482/001
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/02	FR/H/0482/001
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/04	FR/H/0482/001
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/05	FR/H/0482/001
BAYER SRL	ASPIRIN 500 mg drajeuri	RO	6006/2013/01	FR/H/0482/001

Select the products by ticking the relevant row on the left of the screen. You can select all products by clicking the tick mark next to the MAH name field.

Create delivery file screen (9/17)

✕ ASPIRIN COMPLEX HEISSGETRÄNK ▶

✕ ASPIRIN COMPLEX HEISSGETRÄNK ▶

✕ ASPIRIN COMPLEX HEISSGETRÄNK

MAH name	Product full name	Country...	Authorisation No....	EMA Product/MRP/DCP...
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	87846.00.00	DE/H/3635/001
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	78357.00.00	
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	78356.00.00	

◀

Total Items: 3 (Selected Items: 3)

✕ ASPIRIN COMPLEX HEISSGETRÄNK

MAH name	Product full name	Country...	Authorisation No....	EMA Product/MRP/DCP...
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	87846.00.00	DE/H/3635/001
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	78357.00.00	
✓ BAYER VITAL GMBH	ASPIRIN COMPLEX HEISSGETRÄNK 5...	DE	78356.00.00	

Repeat the step as many times as necessary and once you have selected all relevant products/presentations, close the selection by clicking anywhere in the field with the product short name.



Select worksharing number:*

Nothing selected

ws/00

WS/0009

WS/0025

WS/0046

In order to facilitate the planning of a worksharing procedure, MAHs are advised to inform the Agency at least two months in advance of the submission of a variation or group of variations to be subject to a worksharing procedure, together with an explanation as to why the holder believes that a worksharing procedure is suitable, by means of a 'letter of intent'.

More information on ['Worksharing'](#) can be found from the Regulatory Post-Authorisation Guide (search in 'human' or 'veterinary' guidance as appropriate).

A [letter of intent template](#) must be filled and sent to pa-bus@ema.europa.eu to obtain the WS number.

Please note that requesting the worksharing arrangement in advance is mandatory. The WS number has to be included in the xml delivery file.

Select the worksharing number by typing any part of the WS number in the search field.

The number is provided in format WS/0012

Select worksharing number:*

ws/0877

WS/0877

WS/0889

WS/0872

Generate delivery file

IG (Grouping of variations):

Please note that requesting this high level number in advance is mandatory for submissions sent via the eSubmission Gateway or Web Client since this number has to be included in the xml delivery file.

This 'high-level' procedure number can be obtained from the Agency shortly before submission by sending your request with a copy of the draft cover letter to: PA-BUS@ema.europa.eu

More information on '[Grouping of variations](#)' can be found from the Regulatory Post-Authorisation Guide (select 'human' or 'veterinary' as appropriate).

Select the IG number by typing any part of the IG number in the search field.

The number is provided in format IG/0012

Select grouping number:*

Nothing selected

00|

IG/0016

IG/0027

IG/0042

Referrals Article*

Nothing selected

- Article5(3)
- Article13
- Article16C1C
- Article16C4
- Article20
- Article29(4)
- Article30
- Article31
- Article107i
- Article29PAED

Referrals:

Select the referrals Article from the list of referrals shown in a dropdown menu.

The **product type**, **submission format** and **sequence number** depend on the type of referral selected.

Select the EMA referral number by typing any part of the referral number, product name or substance name in the EMA referral no. or name field.

Select a Referral:*

Enter EMA Referral no. or name

Select a Referral:*

007

EMEA/H/C/000644/A20/0072-Tygacil - CETERO_A20/0072

EMEA/H/C/001064/A20/0007-Ribavirin Teva Pharma BV -

CETERO_A20/0007

Select a Product(CAPs):*

Product EMA number:

Product short name:

Select a Product(NAPs):*



Non-authorized product(s)/Herbal product(s)

500 characters remaining.

Referrals:

Select the CAP or NAP product as described previously.

If the procedure contains non-authorized products or herbal products you may indicate details in the free text field.

Choose a submission type:^{*} Choose a Submission-Unit:^{*} Mode:^{*}

^{*}Denotes mandatory fields

Submission: **asmf**

(Dropdown menu for Mode: Single Product, various CAPS, various CAPS and NAPS)

Select ASMF:^{*}

ASMF number:
Substance name:

Select a Product:^{*}

Product EMA number:
Product short name:

For ASMF submissions indicate in the 'mode' field if the submission concerns a single product, various CAPs or various CAPs and NAPs.

Enter the ASMF number by typing in the search field any part of the ASMF number or the substance name. The more you type the more the list is filtered.

Select a CAP by typing any part of the EMEA product number or product name in the search field. All ASMF submissions must be related to a CAP. If the submission relates to multiple CAPs, select a CAP as the lead product.

If you are **unable** to find your ASMF procedure number or the product please contact EMA via the [service portal](#) and for urgent submissions use filenaming convention to submit.



Select a PMF Holder:*

Pmf holder ref. number:

Pmf holder name:

For PMF enter the PMF number by typing in the search field any part of the PMF number.

The more you type the more the list is filtered.



For Paediatric Investigation Plan, waiver or modification enter the 6 digit PIP number in the free text field.

Choose a submission type:*

paediatric submissions ▼

Mode:*

Single Product ▼

*Denotes mandatory fields

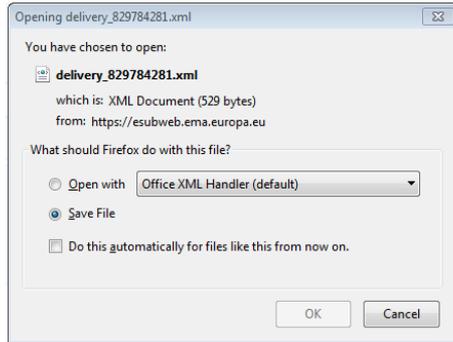
Submission: paediatric submissions

Pip number: *

Enter Pip no.

Generate delivery file

Reset form



Save the xml delivery file in a named folder or a location where you can easily identify it especially if you are creating multiple delivery files for associated submissions.

To proceed click the 'Generate delivery file' button or 'Reset form' to clear the form to prepare a new delivery file for different procedure.

All delivery files are created with unique name. An example of the **unique** name is: delivery_123456789

It is possible to **rename** the delivery file. The only requirement with renaming is that the filename of the **delivery file must** contain word '**delivery**'. The number of characters is not restricted.

The saving of the delivery file is different depending which browser you use!





- Submission **metadata is provided via XML delivery file**, however package should ideally have a **meaningful** name (for submission support and archiving purposes)
- File names **will not be validated** for submissions via the Gateway
- File name examples:
 - **CAPs**: HC000999_Wonderpill_0020.zip, HC000999 Wonderpill responses 0021.zip
 - **NAPs included in WS**: Wonderpill_WS0000_ 0020.zip
 - **NAPs included in referral**: Companyname_0000_0020.zip
- There is no requirement for underscores or spaces.
- Additional information e.g. 'responses' can be included in the file name
- Folders inside the zip containing submissions (e.g. Sequence 0001, 0002 etc.) should follow the eCTD or NeeS guidelines if relevant for your submission type.

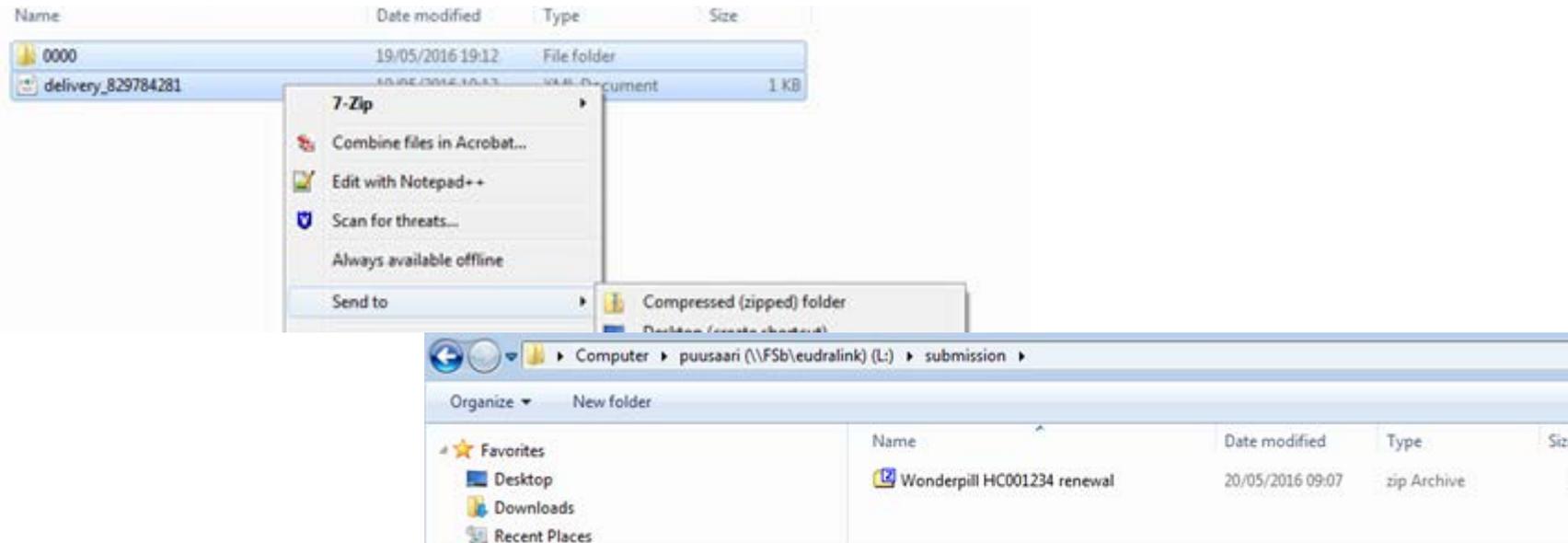


- To ensure that the submission is successful it is important to place the xml delivery file in the correct place in the folder structure and to ensure that the structure is not superfluous i.e. it should not contain additional empty folders on top level.
- When creating the zip, ensure that you only have the submission folder (e.g. 0017), possible word version working documents folder and the xml delivery file in a folder -> create the zip
- Check that the zip file only contains the submission folder, possible working documents folder and the delivery file and that the zip is not placed inside another folder
- You can rename the zip to give it a simple, meaningful name. The zip package filename is not checked by the system.

How to include delivery file in the submission (2/2)



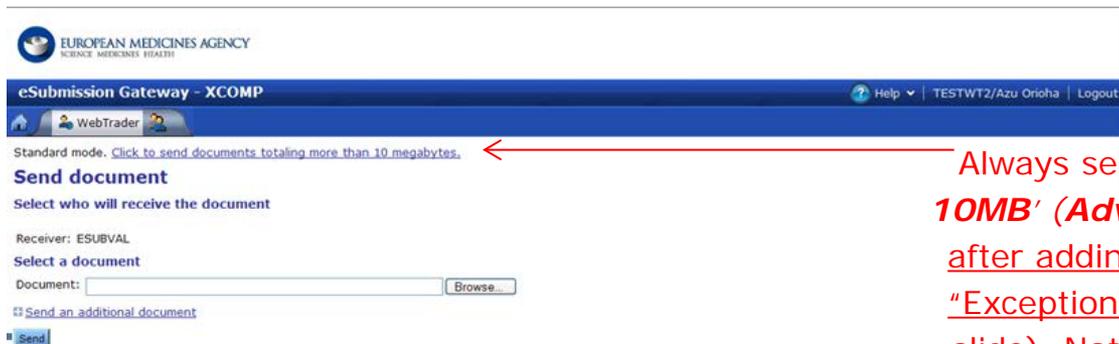
- Ensure that the xml delivery file is placed in the top level folder, in the same level as the submission folder. Both the submission folder and the xml delivery file must be in the top level folder – ensure that the folder structure is not superfluous as this will cause a rejection – if there are additional folders in the structure the Gateway Filehandler cannot recognise the delivery file and the submission will fail.



1. Ensure you are using the correct version of Java (version 1.5.0.15 or higher)
2. Ensure you have created a [XML delivery file](#) and inserted it inside the zip package
3. Logon with the credentials supplied in communication from the registration team

Details for eSubmissions web client

eSubmissions webclient url:
User ID: ESUBPEMAPSUR-admin
proposed password:



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



- Only one package and delivery file should be included per zip file
- Do not add NeeS submissions inside eCTD zip file or on the same delivery file
- Do not add eCTD submission inside NeeS zip file or on the same delivery file
- Always use the “Advanced Mode” for **all** transmissions via the Web Client, also for submissions smaller than 10MB to receive the receipts and acknowledgements from the eSubmission Gateway / Web Client
- If you have any queries/issues/concerns regarding the use of the delivery files, please contact the EMA IT Service Desk: <https://servicedesk.ema.europa.eu>
- There is no change to how the eSubmission Gateway is used .
- The eSubmission Gateway **does not replace CESP** (except for PSURs)– NAPs should be submitted via the Gateway only if they are included in EMA run Worksharing or Referral procedures. Note all PSUR must be submitted via Gateway from 13 June 2016.
- Changes to Art. 57 database are reflected in the delivery file creation UI within 24 hours



- Follow-up measures are now called PAMs and should be submitted using relevant submission type 'pam-xxx'
- You may generate the delivery file as many times as you wish and rehearse creating delivery files for any procedures without any impact to EMA. The EMA does not receive the delivery files unless they are included in the submission package that is sent via eSubmission Gateway / Web Client
- It is not possible to 'group' different submissions types – each submission type requires its own delivery file and submission – there is no change to this in comparison to using filenames conventions



Gateway web site

eSubmission Gateway and Web Client:

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

- Links to the create delivery file UI and the Web Client
- User documents
- Multimedia tutorials
- Training dates
- Who to contact



Gateway Support

- Technical validation issues (e.g. missing or 'Failure' Acknowledgements): <https://servicedesk.ema.europa.eu>
- Gateway registration queries: <https://servicedesk.ema.europa.eu>
- Use of the EMA **service portal** <https://servicedesk.ema.europa.eu>



- **Gateway Registration Documentation** (contact info, forms, guidance documents): <http://esubmission.ema.europa.eu/esubmission.html>
- **Gateway Registration team:** <https://servicedesk.ema.europa.eu>
- **Technical issues during webclient set-up:** <https://servicedesk.ema.europa.eu>
- **Technical validation issues** (e.g. 'Failure' Acknowledgements): <https://servicedesk.ema.europa.eu>
- **EU Guidance on eCTD & Nees:** <http://esubmission.ema.europa.eu/tiges/cmbdocumentation.html>
- **Dossier Requirements for CAPs:**
http://www.ema.europa.eu/docs/en_GB/document_library/Regulatory_and_procedural_guideline/2009/10/WC500003980.pdf



Thank you for your attention

Further information

<https://servicedesk.ema.europa.eu>

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