4.2 Prepare an AE Notification for Submission to the Food and Drug Administration (FDA)

Brief Description	The caAERS system sends an adverse event notification to the Food and Drug Administration (FDA). This notification occurs after the user enters all relevant information into caAERS for the report. The user may have several options for submitting the report to the FDA.
Primary Actor	caAERS User (User)
Secondary Actor	• FDA Electronic Submission Gateway (FDA-ESG) • Enterprise Service Bus (ESB)
Preconditions	• All information for an AE has been entered into caAERS • Report to submit has been configured in caAERS
Basic Flow of Events	1. User enters AE information entered in caAERS 2. User selects FDA report to complete 3. User selects mode of form submission 4. User is guided through submission preparation process
Post-Conditions	• FDA receives the report via the FDA-ESG • User is shown confirmation that they have completed all submission preparation steps within caAERS
Special Requirements	Use MedDRA terminology

Extensions

- Export form as PDF
- Export form and supportive files for E2B-compliant XML submission
- Export form and supportive files in eCTD format

FDA Submission Options

If Agent: CDER
If Biologic (i.e. vaccine, etc): CBER
If Device or diagnostic: CDRH

Type	Medium	Method	Address	Format	Reference
Non-Investigational (i.e. commercial/post-marketing)	paper	Fax		MedWatch3500	
Non-Investigational (i.e. commercial/post-marketing)	paper	Mail		MedWatch3500	
Non-Investigational (i.e. commercial/post-marketing)	electronic (.pdf)	email		MedWatch3500	FDA post-marketing guidance
Non-Investigational (i.e. commercial/post-marketing)	electronic (.pdf)	ESG		MedWatch3500	FDA post-marketing guidance
Non-Investigational (i.e. commercial/post-marketing)	electronic (xml)	ESG		E2B	FDA post-marketing guidance
Non-Investigational (i.e. commercial/post-marketing)	electronic (xml)	Database to database / webservices		E2B	FDA post-marketing guidance

Investigational	paper	Fax		MedWatch3500A + 1571	
Investigational	paper	Mail		MedWatch3500A + 1571	
Investigational	electronic	ESG (https://esgtest.fda.gov/)		eCTD	FDA Guidance
Investigational	electronic	ESG (https://esgtest.fda.gov/)		pdf	FDA Guidance
Investigational	electronic	webservice		eCTD	FDA Guidance

Currently, CDRH does not use eCTD
Electronic submissions for INDs should use eCTD

- The 1571 must be included
- The serial number of the submission MUST be provided by the submitter - it is NOT provided by the FDA receipient
- caAERS will need to be able to generate a 1571 with the appropriate serial # for the IND submission

Is there a webservice that can be called for electronic submissions? Alternative: Is there a programmatic method to use the ESG?

Old format of IND specified by 21 CFR 312.23
Old format of NDA specified by 21 CFR 314.50
eCTD is the new format for IND and NDA combined

- Problem was significant effort to move from paper IND format to paper NDA format
- International Committee on Harmonization (ICH; US, Japan, northern Europe) came up with eCTD as solution as a common electronic document format that could be used for IND applications and the subsequent NDA applications, and as a common submission document to US, Japan, and European regulators
- Currently, eCTD used by CDER and CBER

Noteworthy example: Aricept submission consisted of 770 volumes at 350 pages per volume. FDA required 3 copies. Submission delivered on two (2)- 18 wheelers.