

**US Food and Drug Administration**

*Specifications for eCTD Validation Criteria*

**Revision History**

| <b>Date</b> | <b>Description</b>  | <b>Version</b> |
|-------------|---|----------------|
| 2008-03-10  | Initial Release of eCTD Validation Criteria   | 1.0            |
| 2010-12-10  | eCTD Validation Criteria updated including additions and deletions of error codes - <b>DRAFT</b>      | 2.0            |
| 2011-12-20  | eCTD Validation Criteria updated including clarifications and deletions of error codes - <b>FINAL</b> | 2.1            |
| 2013-04-30  | eCTD Validation Criteria effective dates updated - <b>FINAL</b>                                       | 2.2            |



## Specifications for eCTD Validation Criteria

These specifications detail the validation criteria applied when FDA processes eCTD submissions. They provide a description of the error, an explanation of the error, the corrective steps necessary to correct the error and the severity level that has been assigned to the error.

### Severity Levels

The severity levels outline the impact on the official receipt of your submissions.

| <b>Severity</b> | <b>Description</b>  |
|-----------------|---|
| <b>High</b>     | The error is a serious technical error which prevents the processing of the submission and will require resubmission. The submission is considered not received by FDA.               |
| <b>Medium</b>   | The error may impact the reviewability of the submission but cannot be determined without further inspection by the review staff. The submission might be considered received by FDA. |
| <b>Low</b>      | The error is a technical error which may or may not impact the reviewability or the integrity of the submission. The submission will likely be considered received by FDA.            |

*Note: The FDA utilizes a commercial off-the-shelf product to validate eCTD submissions. The vendor provides the error numbers, groups, and sections. These may be subject to change from time to time. Should they change, this document will be updated accordingly.*

## eCTD Validation Errors

|                              |   |
|------------------------------|---|
| <b>Number:</b>               | 1034  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Invalid leaf element operation  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have submitted a leaf and did not include the operation attribute. The system substituted "New."  |
| <b>Corrective Action:</b>    | If the operation attribute should not have been "New," submit two new leaves. The first leaf should delete the leaf submitted without the operation attribute. The second should associate the file referenced by the first leaf to the leaf you had originally intended to modify. |
| <b>Guidance Source:</b>      | DTDs; ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1038  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Application form and cover letter should be "New"   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a form or cover letter using an operator other than "New."   |
| <b>Corrective Action:</b>    | No corrective action is necessary as occasionally there is a need to replace an incorrect document. Modify your SOPs to ensure the "New" operator is used with forms and cover letters except for exception cases.  |
| <b>Guidance Source:</b>      | FDA Presentations   |

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| <b>Number:</b>               | 1051  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Extraneous leaf element path  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have specified a hlink:xref path for an operation that does not require one, e.g., "Delete."  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure extraneous information is not submitted.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1068  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Extraneous modified leaf element path   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have specified a modified-file path for an operation that does not require one, e.g., "New."  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure extraneous information is not submitted.   |
| <b>Guidance Source:</b>      | ICH Q&A 36 #4   |
| <b>Number:</b>               | 1085  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Leaf element path length exceeds maximum (230 characters)   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | There is a maximum path length of 230 characters. Internal processing adds additional characters to your paths which may invalidate your links. |
| <b>Corrective Action:</b>    | Corrective action may be necessary. Examine your naming conventions to reduce the length of path statements.                                    |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2  |

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|------------------------------|--|
| <b>Number:</b>               | 1102   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | Leaf element path contains invalid characters: backslash(\), colon(:), asterisk(*), question mark(?), less than(<), greater than(>), pipe( ), space ( ), underscore (_), or UPPER CASE   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your path statement contains invalid characters. Since the restriction on characters in the path is an operating system constraint there is likely to be an orphaned file caused by a mismatch between the path specified for the leaf and the actual path of the file referenced by the leaf. |
| <b>Corrective Action:</b>    | Resubmit a corrected leaf in a future submission with the operation attribute of "Replace" to replace the original erroneous leaf.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2; FDA Portable Document Format Specifications V2.0   |
| <b>Number:</b>               | 1111   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | More than one version of the us-regional.xml file exists   |
| <b>Severity Description:</b> | High   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | More than one us-regional.xml was found in the same sequence; the M1 element contains two leafs for regional files.  |
| <b>Corrective Action:</b>    | Resubmit with only one us-regional.xml and only one reference to a regional file per submission sequence.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |

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| <b>Number:</b>               | 1119  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Missing required file   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | A required file in the UTIL folder is missing.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary. Modify your SOPs to prevent this in the future.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6; ICH Q&A 36 #2, 6, and 8   |
| <b>Number:</b>               | 1130  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Required file checksum value must match the expected checksum   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a required file which has been altered (DTD or stylesheet in the UTIL folder).   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to prevent this in the future and ensure the required file is not altered.  |
| <b>Guidance Source:</b>      | ICH Q&A 36 #2, 6, and 8   |
| <b>Number:</b>               | 1136  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Omitted leaf element path   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have not provided the path to the file that should be referenced by the leaf.   |
| <b>Corrective Action:</b>    | Resubmit the leaf specifying the file path to the original document in a later submission. Use the operational attribute of "Replace" to replace the original incorrect leaf. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6; ICH Q&A 36 #13  |

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| <b>Number:</b>               | 1153   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | Missing modified file  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The leaf referenced in the modified-file element cannot be found.  |
| <b>Corrective Action:</b>    | In your next submission submit a leaf modifying the leaf that generated this error using the operation attribute of "Delete." In the same submission resubmit the leaf that generated this error correcting the modified-file reference. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6   |
| <b>Number:</b>               | 1170   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | Omitted leaf element modified file path  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The file path is not specified.  |
| <b>Corrective Action:</b>    | Resubmit the missing file path in a later submission referencing the original document using the operation attribute of "Replace."   |
| <b>Guidance Source:</b>      | ICH Q&A 36 #4; ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1204   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | File name contains invalid characters: tilde(~), forward slash(/), backslash(\), colon(:), asterisk(*), question mark(?), single quote('), double quote(") less than(<), greater than(>), pipe( ), space( ), or UPPER CASE               |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The file name contains invalid characters.   |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure file names do not contain invalid characters.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2   |

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| <b>Number:</b>               | 1221   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | File name exceeds maximum length (64 characters) per eCTD specification  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The file name exceeds maximum length (64 characters).  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure files names do not exceed the maximum length (64 characters) per the eCTD Specification.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2   |
| <b>Number:</b>               | 1238   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | File size exceeds maximum limit (100 MB) per eCTD specification  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The file size exceeds the maximum limit (100 MB). Note: This limit may not be applicable if your file is a dataset. Please refer to the FDA Study Data Specifications document for current information regarding dataset file sizes. |
| <b>Corrective Action:</b>    | No corrective action is necessary. You should generally avoid sending files with sizes that exceed the eCTD Specification.   |
| <b>Guidance Source:</b>      | eCTD Backbone File Specification for Modules 2 through 5 V3.2.2; ICH eCTD Specification V3.2.2 Section 7   |
| <b>Number:</b>               | 1255   |
| <b>Group:</b>                | File checks  |
| <b>Description:</b>          | Invalid file extension   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Valid file extensions include .xml, .dtd, .css, .xsd, .xsl, .pdf, .doc, .docx, .xpt, .txt, .sas, .dat, .jpg, .png, .gif, and .svg.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary based on where the file with the invalid extension appears in the submission. You will be contacted if corrective action is necessary.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2   |



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| <b>Number:</b>               | 1276  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Leaf element title leads or ends with a space   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Leaf element title leads or ends with a space.  |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that leaf element titles do not lead or end with a space.             |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 1289  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Omitted leaf element title  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the title of a leaf element.   |
| <b>Corrective Action:</b>    | Resubmit a replacement leaf element in a later submission referencing the original leaf using the operation attribute of "Replace." |
| <b>Guidance Source:</b>      | ICH Q&A 36 #20; ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1298  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | File does not contain a file extension  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have provided a file that does not have a file extension such as .pdf, .xpt, etc.   |
| <b>Corrective Action:</b>    | Resubmit a replacement leaf element in a later submission referencing the original leaf using the operation attribute of "Replace." |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |

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| <b>Number:</b>               | 1306  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | No leaf element for file  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have submitted the file(s) listed in the validation report without a corresponding reference in the backbone.   |
| <b>Corrective Action:</b>    | Corrective action is based on the underlying reason for the error. If the error is the result of a simple omission of a leaf element then you should submit a leaf element referencing the file in a future submission using the operation attribute of "Replace." If the error occurred due to a difference between the name of the file in a leaf reference and the actual name of the file then submit a corrected leaf element in a future submission that references the original leaf with an operation attribute of "Replace." |
| <b>Guidance Source:</b>      | ICH Q&A 36 #13  |
| <b>Number:</b>               | 1314  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Non-required file exists  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have submitted files in the UTIL folder that are not required.  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that only required files are placed in the UTIL folder.  |
| <b>Guidance Source:</b>      | ICH Q&A #51   |
| <b>Number:</b>               | 1322  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | Folder contains no files or sub folders   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | Your submission includes a file folder that contains no files or sub folders.   |
| <b>Corrective Action:</b>    | Modify your SOPs so that you do not submit empty folders in the future.   |
| <b>Guidance Source:</b>      | ICH Q&A #54   |

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| <b>Number:</b>               | 1323  |
| <b>Group:</b>                | File checks   |
| <b>Description:</b>          | No file for leaf element  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have referenced the file(s) listed in the validation report from the us-regional.xml or index.xml files without providing the actual file(s).   |
| <b>Corrective Action:</b>    | Corrective action is based on the underlying reason for the error. If the error is the result of a simple omission of the file then you should submit the file and a leaf element referencing the original leaf using the operation attribute of "Replace" in a future submission. If the error occurred due to a difference between the name of the file in a leaf reference and the actual name of a file then submitted, you should submit a corrected leaf element in a future submission that references the original leaf with an operation attribute of "Replace." |
| <b>Guidance Source:</b>      | ICH Q&A 36 #12; ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1344  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Attribute value leads or ends with a space  |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Attribute value leads or ends with a space.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that attribute values do not lead or end with a space.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |

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| <b>Number:</b>               | 1357   |
| <b>Group:</b>                | General  |
| <b>Description:</b>          | Omitted attribute value  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You did not specify a required attribute in a heading element or STF XML file, e.g. 'indication' in the section 5.3.5 element or 'type of control' in the STF XML file for a study in section 5.3.5.1. |
| <b>Corrective Action:</b>    | Corrective action may be necessary. If corrective action is necessary, you will be contacted by FDA. Modify your SOPs to ensure that attributes are used as described in the eCTD Specification.       |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone File Specification for Study Tagging Files 2.6.1   |
| <b>Number:</b>               | 1362   |
| <b>Group:</b>                | General  |
| <b>Description:</b>          | An attribute appears multiple times in the stf.xml file  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have duplicated an attribute, e.g., two 'type-of-control' attributes in a STF XML file. Viewer will ignore duplicate attributes and display only the first attribute.                              |
| <b>Corrective Action:</b>    | No corrective action is currently possible. Modify your SOPs to ensure that attributes are used as described in the eCTD Specification.  |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone File Specification for Study Tagging Files 2.6.1   |

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| <b>Number:</b>               | 1368   |
| <b>Group:</b>                | General  |
| <b>Description:</b>          | Extraneous attribute   |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have submitted an attribute that is not called for in the specification, e.g. 'manufacturer' in a Module 4 or Module 5 heading element or 'species' in a Module 5 STF.   |
| <b>Corrective Action:</b>    | No corrective action is currently possible. Modify your SOPs to ensure that attributes are used as described in the eCTD Specification.  |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone File Specification for Study Tagging Files 2.6.1   |
| <b>Number:</b>               | 1374   |
| <b>Group:</b>                | General  |
| <b>Description:</b>          | Checksum value must match the actual checksum  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your checksum value does not match the actual checksum.  |
| <b>Corrective Action:</b>    | Corrective action is based on the underlying reason for the error. You should determine if the issue is simply a miscalculation or misapplication of a checksum; if so, no corrective action is necessary. If you determine that the incorrect file was submitted you should submit the corrected file in a future submissions with a leaf element referencing the original leaf with an operation attribute of "Replace." If you believe that an error has occurred and that the file you have submitted may have become corrupt you should contact your appropriate Center representative. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2   |

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|------------------------------|---|
| <b>Number:</b>               | 1391  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Invalid checksum formatting in index-md5.txt.   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You are using an invalid checksum format, i.e., you have not specified the 32 characters produced as part of generating the MD5 checksum, or you have included trailing spaces or carriage returns. |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure the proper MD5 checksum format is used.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2  |
| <b>Number:</b>               | 1408  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Invalid checksum type   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have used an invalid checksum type.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure the use of MD5 checksums.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2  |
| <b>Number:</b>               | 1425  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Omitted checksum value  |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the checksum value.  |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that the MD5 checksums are specified.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 2  |

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|------------------------------|---|
| <b>Number:</b>               | 1426  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Unexpected checksum value   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have provided a checksum when the leaf operation is "Delete."   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that the checksums are not specified for delete operations.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6  |
| <b>Number:</b>               | 1442  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Omitted DTD version in index.xml file   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the DTD version in the index.xml file.   |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission. Modify your SOPs to ensure that the DTD version is specified in the index.xml file.       |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Section I   |
| <b>Number:</b>               | 1445  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Omitted DTD version in us-regional.xml file   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the DTD version in the us-regional.xml file.   |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission. Modify your SOPs to ensure that the DTD version is specified in the us-regional.xml file. |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3   |

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|------------------------------|---|
| <b>Number:</b>               | 1451  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Date format is missing  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted the date format in the us-regional.xml file.   |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure the date format is specified in the us-regional.xml file.  |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1454  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Company name is missing   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted the company name in the us-regional.xml file.  |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission.                                       |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1459  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Unsupported DTD version in index.xml file   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You are using an unsupported DTD version in the index.xml file.   |
| <b>Corrective Action:</b>    | Resubmit your submission using a version of the DTD that is supported. You may resubmit using the original sequence number of the submission. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2; FDA eCTD Website   |



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| <b>Number:</b>               | 1463  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Unsupported DTD version in us-regional.xml file   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You are using an unsupported DTD version in the us-regional.xml file.   |
| <b>Corrective Action:</b>    | Resubmit your submission using a version of the DTD that is supported. You may resubmit using the original sequence number of the submission. |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3; FDA eCTD Website   |
| <b>Number:</b>               | 1468  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Submission does not contain a prod-name element   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted the prod-name element in the us-regional.xml file.   |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission.                                       |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1472  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Product name value is missing   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted a value for the prod-name element in the us-regional.xml file.   |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission.                                       |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |

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| <b>Number:</b>               | 1476  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Node-extension exists   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have included node extensions in your submissions. Node extensions are strongly discouraged by FDA.   |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that node extensions are not used in future submissions.   |
| <b>Guidance Source:</b>      | FDA Presentations   |
| <b>Number:</b>               | 1478  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Node-extension does not have a title  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Node extension is supplied without a title.   |
| <b>Corrective Action:</b>    | In a future submission, a leaf should be provided that references the original node-extension leaf specifying the "Delete" operation. A new leaf using an existing eCTD heading should be also submitted specifying the operation attribute of "New" taking care to include all required elements and attributes. The use of node extensions is strongly discouraged. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6; General good practice to ensure reviewability.  |
| <b>Number:</b>               | 1482  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Node-extension title leads or ends with a space   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | The node-extension title begins or ends with a space.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that node extensions are not used in future submissions. The use of node extensions is strongly discouraged.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |

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| <b>Number:</b>               | 1487  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Product type is missing   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted the type attribute or value from the prod-name element in the us-regional.xml file.  |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission.   |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1496  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Application type is invalid   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | The application type must match a valid type from the specification.  |
| <b>Corrective Action:</b>    | Resubmit your application specifying a valid application type.  |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1500  |
| <b>Group:</b>                | General   |
| <b>Description:</b>          | Text data was truncated   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted data that exceed the maximum limits.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. This is a warning to examine your naming conventions to reduce the size of the data values. Titles and keywords are limited to 512 characters. |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6  |

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| <b>Number:</b>               | 1519   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Application number does not match the folder name  |
| <b>Severity Description:</b> | High   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your application number in the us-regional.xml file does not match the folder name.  |
| <b>Corrective Action:</b>    | Your application number and folder name must match; please correct one of them.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 1544   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Company name must remain constant  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The company name has changed.  |
| <b>Corrective Action:</b>    | No corrective action is necessary since company names do change from time to time. Modify your SOPs to ensure that company name is used consistently from submission to submission. The company name should only change when there is an actual name change. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 1561   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Circular relationship found in related sequences   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Sequences are referring to one another in a circular fashion. An example of this condition would be sequence 0001 relating to sequence 0002 and 0002 relating back to 0001. Another example would be a sequence that relates to itself.                      |
| <b>Corrective Action:</b>    | Remove the circular relationship between sequences.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |

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| <b>Number:</b>               | 1578   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Multiple related sequences   |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You are relating the submission to multiple sequences, which is not typical.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Generally, a submission relates to one sequence only; although in rare cases valid, multiple related sequences are allowed, such as an amendment that relates to two supplements. |
| <b>Guidance Source:</b>      | FDA Presentations  |
| <b>Number:</b>               | 1595   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | This related submission type cannot have a child submission  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have specified an improper relationship between submission types. A second-level submission should never be related to another second-level submission, e.g. an 'amendment' related to another 'amendment'.      |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that submission types are properly related to one another.  |
| <b>Guidance Source:</b>      | FDA Presentations  |
| <b>Number:</b>               | 1612   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | This submission type cannot have a related sequence  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have specified an improper relationship between submission types. The 'related-sequence-number' element should not be included for first-level submission types.   |
| <b>Corrective Action:</b>    | Remove the 'related-sequence-number' element.  |
| <b>Guidance Source:</b>      | FDA Presentations  |

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| <b>Number:</b>               | 1629   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | This submission type requires a related sequence   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | This submission type requires a related sequence. An example is submitting an amendment that is not related to anything. |
| <b>Corrective Action:</b>    | Enter the correct related sequence.  |
| <b>Guidance Source:</b>      | FDA Presentations  |
| <b>Number:</b>               | 1635   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Parent submission has not been processed   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a sequence in which the related sequence references a sequence that has not yet been received.        |
| <b>Corrective Action:</b>    | Submit the parent sequence.  |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3; General good practice to ensure reviewability.                  |
| <b>Number:</b>               | 1646   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Invalid date   |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your date is invalid (e.g., December 32, 2011) or you did not provide the proper date format of YYYYMMDD.                |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that an actual date or date format is used in the preparation of your submission.             |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II   |

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| <b>Number:</b>               | 1663  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Invalid date format per eCTD specification  |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have used an invalid date format.   |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that you are using the valid date format. The valid date format is YYYYMMDD, e.g., 20110615 for June 15, 2011. |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1680  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Omitted date per eCTD specification   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the date.  |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that the date is specified in future submissions.                           |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |
| <b>Number:</b>               | 1714  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Sequence number does not match the folder name  |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | The sequence number used in your submission does not match the folder name in which the submission is contained.                          |
| <b>Corrective Action:</b>    | Resubmit your submission ensuring that the sequence number used in your submission matches the name of the folder.                        |
| <b>Guidance Source:</b>      | ICH Q&A 36 #19  |

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| <b>Number:</b>               | 1731  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Cumulative STF files are not allowed  |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | FDA only accepts the accumulative approach to STF.  |
| <b>Corrective Action:</b>    | Resubmit your submission ensuring that the STF files created follow the accumulative approach.  |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Section II  |
| <b>Number:</b>               | 1748  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Omitted STF DTD version in leaf element   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Omitted STF DTD version in leaf element.  |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission. Modify your SOPs to ensure that the DTD version is in the leaf element.           |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Page 4  |
| <b>Number:</b>               | 1752  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Omitted STF DTD version in STF XML file   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Omitted STF DTD version in the STF XML file.  |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission. Modify your SOPs to ensure that the DTD version is specified in the STF XML file. |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |



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| <b>Number:</b>               | 1765  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | STF DTD version must match the XML file   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Your STF DTD version listed in the leaf element does not match the DTD version in the STF XML file.   |
| <b>Corrective Action:</b>    | No corrective action is necessary unless FDA notifies you that it is unable to process your submission. Modify your SOPs to ensure that the DTD version specified in the leaf matches that specified in the STF XML file. |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |
| <b>Number:</b>               | 1782  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Unsupported STF DTD version in leaf element   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You are using an unsupported STF DTD version in a leaf element.   |
| <b>Corrective Action:</b>    | Resubmit your submission using a version of the DTD that is supported. You may resubmit using the original sequence number of the submission.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |
| <b>Number:</b>               | 1786  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Unsupported STF DTD version in STF XML file   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You are using an unsupported STF DTD version in a STF XML file.   |
| <b>Corrective Action:</b>    | Resubmit your submission using a version of the DTD that is supported. You may resubmit using the original sequence number of the submission.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |

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| <b>Number:</b>               | 1789   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | A file has been submitted in a study section without providing an STF file   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | All files in a study section must be referenced by an STF file.  |
| <b>Corrective Action:</b>    | In a new submission include an STF and use the "Replace" operator to replace previously submitted documents which were not referenced in an STF.                                     |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1; FDA Presentations   |
| <b>Number:</b>               | 1799   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | STF cannot reference another STF   |
| <b>Severity Description:</b> | High   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | The STF may not reference another STF.   |
| <b>Corrective Action:</b>    | Resubmit your submission ensuring that STFs do not reference other STFs. You may resubmit using the original sequence number of the submission.                                      |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 1816   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | STF does not relate to any leaf elements   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | STF does not relate to any leaf elements.  |
| <b>Corrective Action:</b>    | In a future submission, you should include an STF that includes references to appropriate leaf elements. Modify your SOPs to ensure that all STFs submitted reference leaf elements. |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1  |

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| <b>Number:</b>               | 1833   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | STF relates to a non-existent leaf element   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | STF relates to a non-existent leaf element.  |
| <b>Corrective Action:</b>    | In a future submission, you should include an STF that includes references to existing leaf elements. Modify your SOPs to ensure that all STFs submitted reference leaf elements.  |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1  |
| <b>Number:</b>               | 1850   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | Study ID for STF must remain constant  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have appended an STF with a second STF and the two Study IDs are different (not an exact match). The reviewer will see two studies instead of one.   |
| <b>Corrective Action:</b>    | "Delete" leaf references in the index.xml for the files with incorrect Study IDs and then add the leaf references as "New" to the index.xml and STF for the study that should remain. Modify your SOPs to ensure that a consistent Study ID (exact match) is used. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |

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| <b>Number:</b>               | 1867   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | Invalid STF file extension   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have included an invalid STF file extension.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary. If corrective action is necessary, you will be contacted. Modify your SOPs to ensure that the name for the STF XML file starts with the term "stf-" followed by the alphanumeric code used by the sponsor to unambiguously identify the study (i.e., study-id) and followed by ".xml" to complete the file name. |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Section I  |
| <b>Number:</b>               | 1884   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | Invalid STF file name  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have included an invalid STF file name.  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure that the name for the STF XML file starts with the term "stf-" followed by the alphanumeric code used by the sponsor to unambiguously identify the study (i.e., study-id) and followed by ".xml" as the file extension to complete the file name.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Section I  |

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| <b>Number:</b>               | 1901  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Invalid STF TOC location  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Your leaf that points to the STF is under an invalid heading area or invalid module. For example, STFs can only be associated with certain headings under Modules 4 or 5. |
| <b>Corrective Action:</b>    | Resubmit under the correct module and heading element. Modify your SOPs to ensure that STFs are only included in Modules 4 and 5.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Intro   |
| <b>Number:</b>               | 1918  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Omitted STF doc-content file tag  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have omitted the STF doc-content file tag which prevents the proper classification of the file within the submission.   |
| <b>Corrective Action:</b>    | In a future submission you should include an updated STF file that reflects the proper doc-content file tag using the "Replace" operator.                                 |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Intro   |
| <b>Number:</b>               | 1935  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Multiple STF doc-content file tags  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have multiple STF doc-content file tags; processor will process the first tag but will ignore any additional tags.  |
| <b>Corrective Action:</b>    | No corrective action is possible due to current STF limitations. Modify your SOPs to ensure that only a single doc-content file tag is used.                              |
| <b>Guidance Source:</b>      | DTDs; General good practice to ensure reviewability.  |

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| <b>Number:</b>               | 1953   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | STF XML title and leaf element title do not match  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | Your STF study title and leaf element title do not match; viewer will show the title in the stf.xml file only.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that STF titles match the provided leaf title.   |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 1969   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | Invalid XML STF file   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | You have submitted an stf-xxxxxxx.xml file. This error will occur when: no Study ID is defined, there are no child nodes in the XML document, or the XML document fails to load.   |
| <b>Corrective Action:</b>    | Resubmit your submission ensuring that you use valid stf-xxxxxxx.xml files. Resubmit the missing STF XML file in a new submission sequence and re-reference the appropriate leaves using the operation attribute of "Replace." |
| <b>Guidance Source:</b>      | DTDs; The eCTD Backbone File Specification for Study Tagging Files V2.6.1  |
| <b>Number:</b>               | 1981   |
| <b>Group:</b>                | STF  |
| <b>Description:</b>          | STF XML file is missing  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have referenced an STF XML file in the hlink:xref attribute of a leaf and the system is unable to locate the file.   |
| <b>Corrective Action:</b>    | Resubmit the missing STF XML file in a new submission sequence and re-reference the appropriate leaves using the operation attribute of "Replace."   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Appendix 6; The eCTD Backbone File Specification for Study Tagging Files V2.6.1  |

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| <b>Number:</b>               | 1985  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | The study title for the STF is missing  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have omitted the title within the STF XML file. The title is required for STFs submitted using the version 2 specification.   |
| <b>Corrective Action:</b>    | In a new submission sequence, resubmit the STF file which includes the corrected study title (it is not necessary to resubmit files or regenerate leaves). Ensure that your Study ID is identical to what you previously submitted. |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |
| <b>Number:</b>               | 1990  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | The same STF XML is referenced more than once.  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted one STF XML file and referenced that STF XML file in more than one section.  |
| <b>Corrective Action:</b>    | Only the first study will appear when an STF XML file is referenced more than once. Add a new study STF XML file and one PDF file that states the study is located in another section and provides a link to the study.             |
| <b>Guidance Source:</b>      | ICH Q&A 60  |

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| <b>Number:</b>               | 3001  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | STF doc-content title used  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | You have included a STF doc-content title. This title is not visible to the reviewer and should not be used. The leaf title is visible to reviewers.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary. In future submissions, ensure that doc-content titles for each document referenced in the STF XML are not included.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Page 14   |
| <b>Number:</b>               | 3008  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Use of the property element is required. The xlink:href attribute of the doc-content element is not used  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Use of the property element is required. The xlink:href attribute of the doc-content element is not used 'Description='<br>The attribute '{http://www.w3c.org/1999/xlink}href' on the element 'doc-content' is not defined in the DTD/Schema.<br>Note: Only applies to the STF 2.0 specification. |
| <b>Corrective Action:</b>    | Modify your SOPs to use the most current STF DTD indicated on the FDA eCTD Website.   |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V1.1 Section III   |



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| <b>Number:</b>               | 3015  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | The element 'file-tag' preceded the element 'property'  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | In the STF XML the 'property' element should come before its sibling element 'file-tag'.  |
| <b>Corrective Action:</b>    | Modify your SOPs to ensure your STF is in conformance with the ordering as described in the specification and the DTD.                              |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1 Section III   |
| <b>Number:</b>               | 3029  |
| <b>Group:</b>                | STF   |
| <b>Description:</b>          | Use of content-block is not recommended   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | Although content block is in both DTD versions, the specification does not refer to it; it is recommended that you do not use it.                   |
| <b>Corrective Action:</b>    | Remove the content block element in the identified stf-xxxxxxx.xml and resubmit at time of next planned submission.                                 |
| <b>Guidance Source:</b>      | The eCTD Backbone File Specification for Study Tagging Files V2.6.1   |
| <b>Number:</b>               | 3036  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Application number must contain 6 numeric characters  |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 3/10/2008   |
| <b>Problem:</b>              | The application number must be 6 numeric characters in length.  |
| <b>Corrective Action:</b>    | Resubmit your submission specifying a properly formatted application number. You may resubmit using the original sequence number of the submission. |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3 Section II  |

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| <b>Number:</b>               | 3050   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Submission sequence number must contain 4 numeric characters   |
| <b>Severity Description:</b> | High   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your submission's sequence number must be 4 numeric characters in length.  |
| <b>Corrective Action:</b>    | Resubmit your submission specifying a properly formatted sequence number.  |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3 Section II   |
| <b>Number:</b>               | 3064   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Related sequence number must contain 4 numeric digits  |
| <b>Severity Description:</b> | High   |
| <b>Effective Date:</b>       | 3/10/2008  |
| <b>Problem:</b>              | Your submission's related sequence number element must only contain 4 numeric digits or the element should not appear in the us-regional.xml file.       |
| <b>Corrective Action:</b>    | Resubmit your submission specifying a properly formatted related sequence number. You may resubmit using the original sequence number of the submission. |
| <b>Guidance Source:</b>      | The eCTD Backbone Files Specification for Module 1 V1.3 Section II   |
| <b>Number:</b>               | 3078   |
| <b>Group:</b>                | General  |
| <b>Description:</b>          | eCTD element does not contain any leaf elements  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have included a lowest level element that does not contain any leaf elements.  |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure lowest level elements contain leaf elements.   |
| <b>Guidance Source:</b>      | FDA Presentations  |

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| <b>Number:</b>               | 3102   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | Failed to process PDF contents   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a document with contents that cannot be processed, e.g. a corrupted or invalid PDF document.  |
| <b>Corrective Action:</b>    | Resubmit a corrected leaf in a future submission with the operation attribute of "Replace" and an updated valid PDF file.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 5005   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | Non standard font (not embedded)   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have used a non-standard font and failed to fully embed the font. You should limit fonts to standard fonts. If you use non-standard fonts you should fully embed them in the PDF file. |
| <b>Corrective Action:</b>    | Resubmit a corrected leaf in a future submission with the operation attribute of "Replace" and an updated PDF file with all non standard fonts embedded.                                   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; FDA Portable Document Format Specifications V2.0  |

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| <b>Number:</b>               | 5020  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | PDF security used   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a PDF file with security settings that limit the ability to select text or graphics, or make other changes. This prevents agencies from copying text and taking other actions with submitted documents. (Not applicable for FDA Forms)   |
| <b>Corrective Action:</b>    | Resubmit a corrected leaf in a future submission with the operation attribute of "Replace" and an updated PDF file without restrictions.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7   |
| <b>Number:</b>               | 5025  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | US application form is not a fillable form  |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted an application form (containing 356h or 1571 in its file name) that is not a fillable form.  |
| <b>Corrective Action:</b>    | Ensure that you submit an FDA fillable form in future submissions.  |
| <b>Guidance Source:</b>      | FDA Presentations   |
| <b>Number:</b>               | 5029  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Misnamed form   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You may have submitted an application form that is not named correctly (that is, a file in 1.1.1 not containing 1571 in its file name, or a file in 1.1.2 not containing 356h in its file name). If so, this will prevent automated processing of the form. |
| <b>Corrective Action:</b>    | In the future, ensure that your application form is named 356h.pdf or 1571.pdf.   |
| <b>Guidance Source:</b>      | FDA Presentations   |

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| <b>Number:</b>               | 5030  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Application number in form does not match application number in us-regional.xml   |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | The application number in your application form does not match the application number supplied in your us-regional.xml file. Note: This error can be ignored for trans BLAs.  |
| <b>Corrective Action:</b>    | In future submissions, ensure that these numbers match. You may need to resubmit with consistent information.   |
| <b>Guidance Source:</b>      | FDA Presentations   |
| <b>Number:</b>               | 5031  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Submission date in form does not match submission date in us-regional.xml   |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | The submission date in your application form does not match the submission date supplied in your us-regional.xml file.  |
| <b>Corrective Action:</b>    | In future submissions, ensure that these dates match. You may need to resubmit with consistent information.   |
| <b>Guidance Source:</b>      | FDA Presentations   |
| <b>Number:</b>               | 5032  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Multiple application forms present  |
| <b>Severity Description:</b> | Low   |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted more than one application form. Note: This error can be ignored for trans BLAs.  |
| <b>Corrective Action:</b>    | In future submissions, include only one file with the form number as part of the file name. For example, only include one file named 356h.pdf for an NDA, and do not include 356h in the file names of other ancillary documents. |
| <b>Guidance Source:</b>      | FDA Presentations   |

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| <b>Number:</b>               | 5033   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Missing application form   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted an application without an application form. A lack of a valid, electronically readable form results in delays in processing your submission.                                      |
| <b>Corrective Action:</b>    | You should provide a valid fillable form in future submissions. A form named 1571.pdf is expected in section 1.1.1 for INDs. A form named 356h.pdf is expected in section 1.1.2 for NDAs/ANDAs/BLAs. |
| <b>Guidance Source:</b>      | FDA Presentations  |
| <b>Number:</b>               | 5034   |
| <b>Group:</b>                | M1   |
| <b>Description:</b>          | Application form placed in wrong TOC location  |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted an application form that was not placed in the correct TOC location.  |
| <b>Corrective Action:</b>    | In the future, ensure that your form is located in the correct Module 1 section: 1.1.1 for 1571.pdf, 1.1.2 for 356h.pdf, or 1.1.3 for 2262.pdf   |
| <b>Guidance Source:</b>      | FDA Presentations  |
| <b>Number:</b>               | 5035   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | PDF version of document is incorrect   |
| <b>Severity Description:</b> | Low  |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a document using a PDF version that is not consistent with ICH / regional guidance.   |
| <b>Corrective Action:</b>    | No corrective action is necessary. Modify your SOPs to ensure that documents in future submissions conform to the published standards.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; FDA Portable Document Format Specifications V2.0  |

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| <b>Number:</b>               | 5038  |
| <b>Group:</b>                | M1  |
| <b>Description:</b>          | Wrong application form  |
| <b>Severity Description:</b> | High  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted the wrong application form based on your application type, that is, you have submitted a form named 1571.pdf for an NDA/ANDA/BLA, a form named 356h.pdf for an IND or a form named 2252.pdf for a sequence that is not an annual report. |
| <b>Corrective Action:</b>    | You will be contacted if corrective action is necessary. Modify your SOPs to ensure that your submission has a the correct type of form correctly named 356h.pdf or 1571.pdf and linked into 1.1.1 (for INDs) or 1.1.2 (for NDAs/BLAs/ANDAs).               |
| <b>Guidance Source:</b>      | FDA Presentations; FDA Form Instructions  |
| <b>Number:</b>               | 5040  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | PDF does not have 'Fast Web Access' active  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a PDF that has been created without 'Fast Web Access' active.  |
| <b>Corrective Action:</b>    | Ensure that documents in future submissions are created with the 'Fast Web Access' option.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; ICH Q&A 36 #23   |

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| <b>Number:</b>               | 5045  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | PDF opening settings not optimal  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a PDF that does not open in the desired view.  |
| <b>Corrective Action:</b>    | Ensure that PDF Opening settings are correct for all future submissions. The initial view of the PDF files should be set as Bookmarks and Pages in the Navigation Panel. If there are no bookmarks, the initial view should be set to Pages only. PDFs should open in 'most recent view' (i.e. 'inherit zoom' for bookmarks and links, and 'default' in open dialogue box). |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; FDA Portable Document Format Specifications V2.0   |
| <b>Number:</b>               | 5050  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Document has password protection  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has password protection and cannot be opened. (Not applicable for FDA Forms)   |
| <b>Corrective Action:</b>    | Resubmit the protected file in a later submission referencing the original leaf using the operation attribute of "Replace."   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; ICH Q&A 36 #21   |
| <b>Number:</b>               | 5055  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Document has annotations  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has PDF annotations.   |
| <b>Corrective Action:</b>    | Ensure that documents in future submissions do not have annotations.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |



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| <b>Number:</b>               | 5057  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Document contains no text   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that is a scanned image only and is not text searchable.  |
| <b>Corrective Action:</b>    | Ensure that documents in future submissions are text searchable whenever possible (minimize the use of scanned documents).                                  |
| <b>Guidance Source:</b>      | FDA Portable Document Format Specifications V2.0  |
| <b>Number:</b>               | 5100  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Broken bookmark   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more bookmarks pointing to a file that does not exist.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have broken bookmarks.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 5101  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Corrupt bookmark  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more bookmarks pointing to a file that cannot be opened.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have corrupt bookmarks. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |

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| <b>Number:</b>               | 5102  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Bookmark has non-existent named destination or page   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more bookmarks pointing to a named destination or page that does not exist.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have bookmarks linking to non-existent pages or named destinations. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 5103  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Multiple action bookmark  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more bookmarks containing multiple actions.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have bookmarks triggering multiple actions.                         |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 5105  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | External bookmark   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that makes reference to one or more external bookmarks (e.g. web links, email links).   |
| <b>Corrective Action:</b>    | Ensure that documents in future submissions do not have bookmarks that are external to the application.   |
| <b>Guidance Source:</b>      | ICH Q&A 64  |

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| <b>Number:</b>               | 5110  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Inactive bookmark   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has one or more inactive bookmarks.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have inactive bookmarks.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 5115  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Non-relative bookmark   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has one or more non-relative (absolute) bookmarks.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions have only relative bookmarks.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 6; FDA Portable Document Format Specifications V2.0; ICH Q&A 36 #23   |
| <b>Number:</b>               | 5117  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Bookmark does not 'Inherit Zoom'  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more bookmarks that are not set to 'Inherit Zoom'.  |
| <b>Corrective Action:</b>    | Ensure that all bookmarks are set to 'Inherit Zoom'.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; FDA PDF Specifications V2.0; Final Guidance for Industry: Providing Regulatory Submissions in Electronic Format--Human Pharmaceutical Applications and Related Submissions Using the eCTD Specifications |

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| <b>Number:</b>               | 5200   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | Broken hyperlink   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a document with one or more hyperlinks pointing to a file that does not exist.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have broken hyperlinks.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 5201   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | Corrupt link   |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a document with one or more links pointing to a file that cannot be opened.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have corrupt links.  |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |
| <b>Number:</b>               | 5202   |
| <b>Group:</b>                | PDF  |
| <b>Description:</b>          | Link has non-existent named destination or page  |
| <b>Severity Description:</b> | Medium   |
| <b>Effective Date:</b>       | 4/30/2013  |
| <b>Problem:</b>              | You have submitted a document with one or more hyperlinks pointing to a named destination or page that does not exist.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have links pointing to non-existent pages or named destinations. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.   |

|                              |   |
|------------------------------|---|
| <b>Number:</b>               | 5203  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Multiple action hyperlink   |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more hyperlinks containing multiple actions.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have links triggering multiple actions. |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |
| <b>Number:</b>               | 5205  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | External hyperlink  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that makes reference to one or more web references in a hyperlink (e.g. web links, email links).  |
| <b>Corrective Action:</b>    | Ensure that documents in future submissions do not have hyperlinks that are external to the application.  |
| <b>Guidance Source:</b>      | ICH Q&A 64  |
| <b>Number:</b>               | 5210  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Inactive hyperlink  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has one or more inactive hyperlinks.   |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have inactive hyperlinks.               |
| <b>Guidance Source:</b>      | General good practice to ensure reviewability.  |

|                              |   |
|------------------------------|---|
| <b>Number:</b>               | 5215  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Non-relative hyperlink  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document that has one or more non-relative (absolute) hyperlinks.  |
| <b>Corrective Action:</b>    | Corrective action may be necessary and you will be contacted if it is necessary. Ensure that documents in future submissions do not have non-relative hyperlinks.   |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 6; FDA Portable Document Format Specifications V2.0; ICH Q&A 36 #23   |
| <b>Number:</b>               | 5217  |
| <b>Group:</b>                | PDF   |
| <b>Description:</b>          | Link does not 'Inherit Zoom'  |
| <b>Severity Description:</b> | Medium  |
| <b>Effective Date:</b>       | 4/30/2013   |
| <b>Problem:</b>              | You have submitted a document with one or more links that are not set to 'Inherit Zoom'.  |
| <b>Corrective Action:</b>    | Ensure that all links in future submissions are set to 'Inherit Zoom'.  |
| <b>Guidance Source:</b>      | ICH eCTD Specification V3.2.2 Section 7; FDA PDF Specifications V2.0; Final Guidance for Industry: Providing Regulatory Submissions in Electronic Format--Human Pharmaceutical Applications and Related Submissions Using the eCTD Specifications |

## Validation Error Codes (sorted by severity)

| <b>Error Number</b> | <b>Severity Level</b> |
|---------------------|-----------------------|
| 1038                | Low                   |
| 1130                | Low                   |
| 1204                | Low                   |
| 1221                | Low                   |
| 1238                | Low                   |
| 1276                | Low                   |
| 1322                | Low                   |
| 1344                | Low                   |
| 1368                | Low                   |
| 1374                | Low                   |
| 1391                | Low                   |
| 1408                | Low                   |
| 1425                | Low                   |
| 1426                | Low                   |
| 1454                | Low                   |
| 1468                | Low                   |
| 1472                | Low                   |
| 1482                | Low                   |
| 1487                | Low                   |
| 1500                | Low                   |
| 1544                | Low                   |
| 1578                | Low                   |
| 1646                | Low                   |
| 1663                | Low                   |
| 1680                | Low                   |
| 1953                | Low                   |
| 3078                | Low                   |
| 5025                | Low                   |
| 5029                | Low                   |
| 5031                | Low                   |
| 5032                | Low                   |

|      |        |
|------|--------|
| 5034 | Low    |
| 5035 | Low    |
| 1034 | Medium |
| 1051 | Medium |
| 1068 | Medium |
| 1085 | Medium |
| 1102 | Medium |
| 1119 | Medium |
| 1136 | Medium |
| 1153 | Medium |
| 1170 | Medium |
| 1255 | Medium |
| 1289 | Medium |
| 1298 | Medium |
| 1306 | Medium |
| 1314 | Medium |
| 1323 | Medium |
| 1357 | Medium |
| 1362 | Medium |
| 1442 | Medium |
| 1445 | Medium |
| 1451 | Medium |
| 1476 | Medium |
| 1478 | Medium |
| 1561 | Medium |
| 1595 | Medium |
| 1612 | Medium |
| 1629 | Medium |
| 1635 | Medium |
| 1748 | Medium |
| 1752 | Medium |
| 1765 | Medium |
| 1789 | Medium |
| 1816 | Medium |



|      |        |
|------|--------|
| 1833 | Medium |
| 1850 | Medium |
| 1867 | Medium |
| 1884 | Medium |
| 1901 | Medium |
| 1918 | Medium |
| 1935 | Medium |
| 1969 | Medium |
| 1981 | Medium |
| 1985 | Medium |
| 1990 | Medium |
| 3001 | Medium |
| 3008 | Medium |
| 3015 | Medium |
| 3029 | Medium |
| 3102 | Medium |
| 5005 | Medium |
| 5020 | Medium |
| 5033 | Medium |
| 5040 | Medium |
| 5045 | Medium |
| 5050 | Medium |
| 5055 | Medium |
| 5057 | Medium |
| 5100 | Medium |
| 5101 | Medium |
| 5102 | Medium |
| 5103 | Medium |
| 5105 | Medium |
| 5110 | Medium |
| 5115 | Medium |
| 5117 | Medium |
| 5200 | Medium |
| 5201 | Medium |

|      |        |
|------|--------|
| 5202 | Medium |
| 5203 | Medium |
| 5205 | Medium |
| 5210 | Medium |
| 5215 | Medium |
| 5217 | Medium |
| 1111 | High   |
| 1459 | High   |
| 1463 | High   |
| 1496 | High   |
| 1519 | High   |
| 1714 | High   |
| 1731 | High   |
| 1782 | High   |
| 1786 | High   |
| 1799 | High   |
| 3036 | High   |
| 3050 | High   |
| 3064 | High   |
| 5030 | High   |
| 5038 | High   |

## Validation Error Codes Removed

|                     |  |
|---------------------|--|
| Number              | 3022   |
| Severity            | Medium   |
| In Version          | 2.1  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 1362 and Error 1368.                           |
| Number              | 5000   |
| Severity            | Medium   |
| In Version          | 2.1  |
| Reason For Deletion | Non-standard fonts may be used if they are fully embedded in the PDF file (not just an embedded subset). |
| Number              | 5080   |
| Severity            | Medium   |
| In Version          | 2.1  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 5040.  |
| Number              | 5300   |
| Severity            | Low  |
| In Version          | 2.1  |
| Reason For Deletion | Error functionality removed by FDA eCTD tool vendor.   |
| Number              | 1017   |
| Severity            | Medium   |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 1153.  |
| Number              | 1128   |
| Severity            | Low  |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 1314.  |

|                     |  |
|---------------------|--|
| Number              | 1187   |
| Severity            | Medium   |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 1153.                                      |
| Number              | 1272   |
| Severity            | Low  |
| In Version          | 2.0  |
| Reason For Deletion | There are no invalid characters for leaf titles, only for file names.                                |
| Number              | 1340   |
| Severity            | Low  |
| In Version          | 2.0  |
| Reason For Deletion | There are no invalid characters for attributes.  |
| Number              | 1480   |
| Severity            | Low  |
| In Version          | 2.0  |
| Reason For Deletion | There are no invalid characters for node extension titles.   |
| Number              | 1493   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | Fatal XML errors will prevent the validation of the sequence. No validation report would be created. |
| Number              | 1510   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | Fatal XML errors will prevent the validation of the sequence. No validation report would be created. |

|                     |  |
|---------------------|--|
| Number              | 1527   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | This error would never occur. A change in application number would cause the sequence to be associated with a different application. |
| Number              | 1697   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | This error would never occur. The duplicate sequence would be rejected by the FDA.   |
| Number              | 1952   |
| Severity            | Low  |
| In Version          | 2.0  |
| Reason For Deletion | Retired and replaced by Error 3001.  |
| Number              | 3043   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 3036.  |
| Number              | 3057   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 3050.  |
| Number              | 3071   |
| Severity            | High   |
| In Version          | 2.0  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 3064.  |

|                     |  |
|---------------------|--|
| Number              | 1161   |
| Severity            | Low  |
| In Version          | 2.1  |
| Reason For Deletion | A title may be provided, however, providing anything other than the original title may impact reviewability. |
| Number              | 1630   |
| Severity            | Medium   |
| In Version          | 2.1  |
| Reason For Deletion | Error provided redundant functionality. Replaced by Error 3064.  |