PURPOSE

This MAPP documents CDER’s System of Record (SOR) and outlines the policies and procedures for its governance. This includes the following:

- Definition of a Record and SOR
- Identification of the various systems within CDER that holds the SOR
- Listing of the SOR attributes for the identified CDER systems

BACKGROUND

CDER is improving its informatics infrastructure by consolidating data management, business process management and business intelligence. Because of these improvements, legacy systems will be retired, and a modern informatics platform will be established, serving as the new SOR.

During this transition, it is critical to document what the SOR is at any given point in time. Per 36 CFR 1236.10, What Records Management Controls Must Agencies Establish for Records in Electronic Information Systems, this is part of the controls necessary to protect the reliability, authenticity, integrity, usability, content, context and structure of the Federal records contained within the SOR so they can provide adequate and proper documentation of Agency business for as long as the information is needed, (i.e., per their approved retention period in the FDA and CDER records control schedules). In turn, the SOR helps to fulfill...
CDER’s records management obligations under 44 U.S.C. 3301, Records Management by Federal Agencies.

A System of Record (SOR) is the authoritative data source for a given data element or piece of information within an information management system. This definition, although consistent with the Freedom of Information and Privacy Act, is specific to CDER’s information technology strategy and infrastructure.

RESPONSIBILITIES

CDER OBI / Program Management Office (PMO)
- Documents the SOR
- Provides guidance for the use of SOR for various systems’ implementation
- Maintains and updates the SOR for CDER
- Performs regular quality assurance checks.

PROCEDURES

1. The System of Record table is validated and updated annually.
2. Updates to the System of Record table are communicated regularly via OBI’s standard procedures.
3. The ongoing updates to the SOR table are in alignment with CDER MAPPs, FDA Staff Manual Guides, and FDA and CDER Records Control Schedules.

Quality Assurance: Comprehensive procedures, which perform ongoing data quality checks, to ensure the SOR is up to date.

Conflict Resolution: Key stakeholders will take reasonable steps to reach alignment on unresolved issues. The principles of CDER MAPP 4151.8, Equal Voice, and MAPP 4151.2, Resolution of Differing Professional Opinions: Review by Ad Hoc Panel and Center Director will be employed to resolve issues, as appropriate.

REFERENCES

12. FDA, 2013, Center for Drug Evaluation and Research, MAPP 7600.8, Rev. 1, CDER Informatics Governance Process.
15. 44 U.S.C 3301, Records Management by Federal Agencies.

DEFINITIONS

Record: An item (or) a collection of data. This also represents a single, implicitly structured data item in a table. Also per 44 U.S.C. 3301 – Records Management By Federal Agencies (The Federal Records Act), “includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them”,

Records Management: The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and ensure effective and economical management of agency operations. (44 U.S.C. 2901)

System of Record: The authoritative data source for a given data element or piece of information within an information management system. (Per 36 CFR 1236.2, an electronic information system is a “system that contains and provides access to computerized Federal records and other information.”).

Master Data: Master Data is a centralized, single source of business data used across multiple systems, and applications processes. Master data may include data about product, sponsor, application, or facility.
EFFECTIVE DATE

This MAPP is effective upon date of publication.

CHANGE CONTROL TABLE

<table>
<thead>
<tr>
<th>Effective Date</th>
<th>Revision Number</th>
<th>Revisions</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/24/2014</td>
<td>n/a</td>
<td>Initial issuance.</td>
</tr>
<tr>
<td>6/10/2018</td>
<td>N/A</td>
<td>Administrative Change – Attachment 1</td>
</tr>
</tbody>
</table>
ATTACHMENT 1 – SYSTEM OF RECORD TABLE

This list reflects those SORs most commonly used for CDER records. CDER records may be stored in other FDA and select HHS SORs (e.g., HHS Learning Management System), as appropriate.

CDER records must not be maintained in shared drives, SharePoint, portable media, Microsoft Outlook, or personal drives without expressed permission by the CDER Assistant Records Liaison Officer (ARLO).

<table>
<thead>
<tr>
<th>System of Record (SOR)</th>
<th>System Description</th>
<th>Data Elements and Information</th>
<th>Sample Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document Archiving, Reporting &amp; Regulatory Tracking System (DARRTS)</td>
<td>Tracks incoming submissions and outgoing communications and documents for regulatory review (INDs, BLAs, NDAs, ANDAs, DMFs, MAs, Safety Reports, Meeting requests, etc.)</td>
<td>Metadata for Applications Submissions and Supporting documents</td>
<td>Congressional reporting, Performance reporting</td>
</tr>
<tr>
<td>Documentum – AIMS</td>
<td>Maintains Work Products performed by Agency administrative support staff</td>
<td>Work Products</td>
<td>Controlled correspondences, external communications</td>
</tr>
<tr>
<td>Documentum – CMS (Compliance Management System)</td>
<td>Tracks individual compliance actions and related documentation</td>
<td>Work Products</td>
<td>Inspection reports, compliance actions</td>
</tr>
<tr>
<td>Documentum – ECMS</td>
<td>Stores business documents (varies by office)</td>
<td>Work Products</td>
<td>Work products, varying by office</td>
</tr>
</tbody>
</table>

**Note:** For those CDER records that do not already have a SOR specified, it is recommended that they be stored in the Documentum ECMS FDA Records Management (FDA-RM) repository which is DoD 5015.2 compliant (a software standard for records management). The default Documentum ECMS Central repository would not be used for this purpose.
<table>
<thead>
<tr>
<th>Repository</th>
<th>Description</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Electronic Document Room (EDR)</td>
<td>Maintains electronic regulatory review submissions (INDs, BLAs, NDAs, ANDAs, DMFs, MAAs, Safety Reports, Meeting requests, etc.)</td>
<td>Electronic submissions</td>
</tr>
<tr>
<td>FAERS</td>
<td>Manages consumer, health care professional, and industry submitted adverse event reports for CDER and CBER regulated products</td>
<td>Electronic Adverse Event Data</td>
</tr>
<tr>
<td>CDER Informatics Platform – Integrity</td>
<td>Provides unified, accurate, and up-to-date data records that facilitate consistency across the Platform and enable automated content population, cross-referencing, and reporting</td>
<td>Master Data</td>
</tr>
<tr>
<td>CDER Informatics Platform – Mercado</td>
<td>Provides an integrated data warehouse for regulatory data with powerful analytics tools, which allows for flexible querying, reporting, and analysis</td>
<td>Regulatory Reporting and Analytics</td>
</tr>
<tr>
<td>CDER Informatics Platform – Panorama</td>
<td>Provides end-to-end process templates with built-in document management and routing</td>
<td>Work flow Metadata Work Products</td>
</tr>
</tbody>
</table>

- The repository does not meet these standards and should not be used for record retention.
- Incoming CDER electronic submissions, Applications, Supplements, Master files, Annual reports
- Post-marketing adverse event reports, management reports
- Facility: Manufacturing Facilities, Clinical Sites, Third party logistics providers, Compounding sites, Wholesale distributors
- Product: Domestic & Foreign Prescription drugs, Over the counter drugs (OTC), Unapproved drugs, Compounded drugs, Ingredients (Active & Inactive)
- Sponsor: New Drug Application holder, Generic Drug Application holder, Drug Master File
- Pharmaceutical quality reporting
- Review/Inspection Status & Outcome, Assignments, Warning letters Application/Supplement/Final
and custom views for each Office, allowing cross-discipline teams to work, collaborate, and report in one place in real time

| labeling/Quality Reviews, Responses to citizen petitions/Congressional inquiries, Approval letters, Sponsor communications |