

FDA eCTD Requirements: A Guide to v4.0 & Submission Rules

By Adrien Laurent, CEO at IntuitionLabs • 1/12/2026 • 40 min read

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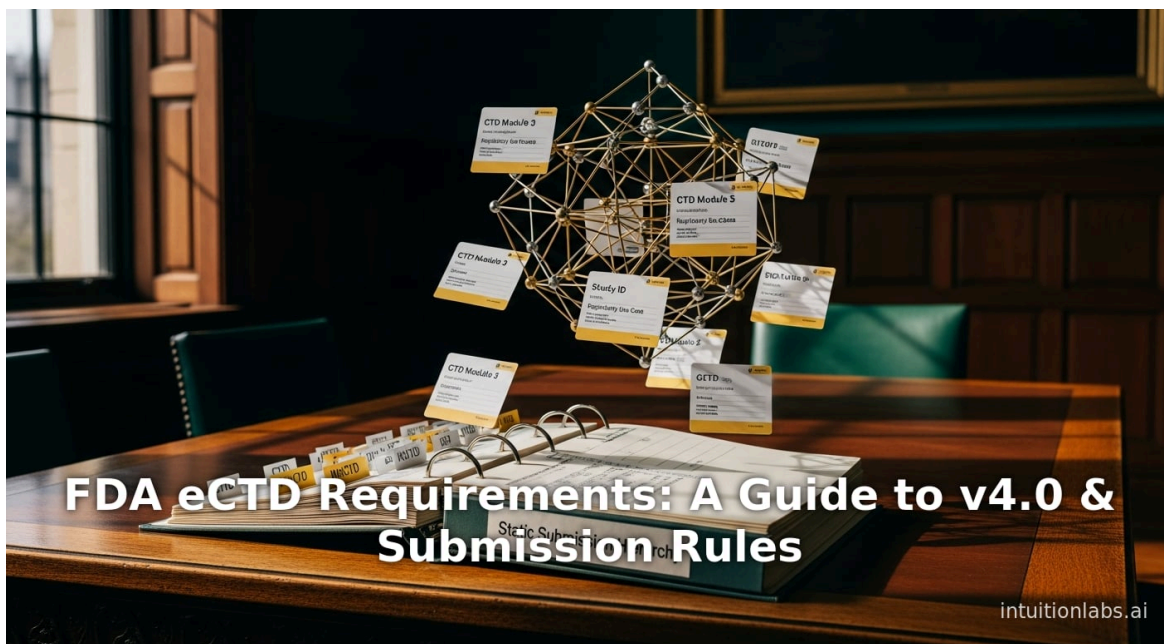
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Executive Summary

The **electronic Common Technical Document (eCTD)** has become the mandatory standard format for most drug submissions to the U.S. Food and Drug Administration (FDA). Over the past two decades, FDA has phased in electronic submission requirements: since 2017 new drug applications (NDAs), biologics license applications (BLAs), and abbreviated NDAs (ANDAs) must be submitted in eCTD format; since 2018 all commercial investigational new drug (IND) applications and related master files (Type II DMFs) must also be eCTD. As of January 2026, FDA continues to accept eCTD v3.2.2 for routine submissions, while **support for the new eCTD v4.0 (HL7 Regulated Product Submissions, RPS-based format)** has begun. FDA announced that, effective September 16, 2024, it would accept *new* applications (NDAs, BLAs, ANDAs, INDs, DMFs) in eCTD v4.0 on a voluntary basis ⁽¹⁾ www.fda.gov ⁽²⁾ www.fda.gov. Mandatory transition timelines to v4.0 have not been finalized, but industry analysts project an FDA mandate sometime around 2029 ⁽³⁾ globalforum.diaglobal.org. Meanwhile, other regions have set earlier deadlines (e.g. Japan by 2026, EU by 2027 for centralized procedures ⁽⁴⁾ globalforum.diaglobal.org ⁽⁵⁾ globalforum.diaglobal.org)).

This report provides a *comprehensive* overview of the FDA's eCTD submission requirements as of 2026. We trace the **regulatory background** (the Federal Food, Drug, and Cosmetic Act amendment and FDA guidances that gave rise to the mandate), outline the key **technical and procedural requirements** for eCTD filings (including submission content and format), and summarize the **current state and near-future directions** (eCTD v4.0 adoption, global harmonization, and emerging trends). We emphasize **data-driven** accounts and expert analyses, including FDA notices, industry guidance, and case examples. For instance, we cite FDA statements and guidance documents specifying which applications require eCTD and when (e.g. NDAs/BLAs/ANDAs since May 2017 and INDs/Type II DMFs since May 2018 ⁽⁶⁾ www.linkedin.com ⁽⁷⁾ www.fda.gov)), as well as industry analyses of eCTD v4.0 readiness ⁽⁸⁾ globalforum.diaglobal.org (esubmission.ema.europa.eu). We also present tables summarizing critical deadlines and contrasting eCTD versions, backed by source references.

Key findings include:

- **Mandatory eCTD submissions:** All NDAs, ANDAs, BLAs, commercial INDs, and related subsequent documents (supplements, amendments, annual reports) must be submitted electronically in FDA-supported eCTD formats ⁽⁹⁾ www.fda.gov. Non-commercial (investigator-initiated) INDs and Type III DMFs remain optional/elective for now ⁽¹⁰⁾ www.fda.gov. Paper or older electronic formats are generally not accepted without a formal waiver (e.g. PET drug producers of certain academic labs have limited waivers ⁽¹¹⁾ www.linkedin.com)). Compliance deadlines were phased in by FDA: NDAs/BLAs/ANDAs by **May 5, 2017** and commercial INDs/Type II master files by **May 5, 2018** ⁽⁶⁾ www.linkedin.com ⁽⁷⁾ www.fda.gov). These deadlines mean that by 2026 nearly all regulated drug submissions should be in eCTD.
- **Transition to eCTD v4.0:** The ICH eCTD v4.0 standard (HL7 RPS-based) was finalized internationally in 2015, but FDA only recently began accepting it. From September 16, 2024 onward, FDA will **accept** new submissions in eCTD v4.0, though will continue supporting v3.2.2 during transition ⁽¹⁾ www.fda.gov ⁽²⁾ www.fda.gov. FDA has signaled that “forward compatibility” (linking old v3.2 contents into v4.0 sequences) and “two-way” electronic communication features are forthcoming. No date has yet been set for *mandatory* eCTD v4.0 use, but industry experts forecast around 2029 ⁽³⁾ globalforum.diaglobal.org. Japan will require v4.0 by 2026 ⁽⁴⁾ globalforum.diaglobal.org and Europe is piloting v4.0 (with mandatory use for centralized procedures by 2027) ⁽⁵⁾ globalforum.diaglobal.org (esubmission.ema.europa.eu).
- **Technical requirements and standards:** FDA's eCTD guidance (Rev. 8, and related technical specifications) detail the expected file formats, XML backbone, Module structure, and controlled vocabularies. Submissions must use currently-supported eCTD versions (v3.2.2 or v4.0) and comply with validation criteria. The Electronic Submissions Gateway (ESG) is required for transmission of eCTD files (up to 10GB) ⁽¹²⁾ www.fda.gov ⁽¹³⁾ www.extedo.com. Common validation issues include incorrect folder hierarchy, missing metadata, oversized files, and wrong Semantic

segmentation (^[14] en.ennov.com) (www.mexc.fm). Tools like FDA's validation engine (eValidator) help identify errors; still, each year FDA rejects a small percentage (<2%) of submissions for technical non-conformance (^[14] en.ennov.com).

- **Implications and future directions:** The eCTD mandate has significantly raised the bar for regulatory operations. Companies must invest in publishing systems, document management practices, and staff training to maintain compliance. The shift to eCTD allows FDA reviewers to more efficiently navigate and track review content, potentially speeding approval times and enabling data analytics on submission "data lakes". Looking ahead, we anticipate further FDA initiatives: integration with IDMP product identifiers, better use of structured submission data, broader electronic communication (e.g. cover letters, FDA RFI in structured form), and ultimately a single harmonized global submission standard. The full realization of eCTD v4.0 should allow automated content reuse, more flexible portfolio management (since content "modules" can be reorganized without requiring new agency approval), and possibly enhancements like blockchain audits or AI-assisted review.

This report synthesizes regulatory texts, guidance documents, industry analyses, and expert commentary to provide a detailed, evidence-based perspective on FDA eCTD requirements as of 2026. Extensive citations are provided for each factual claim. We include illustrative tables (below) summarizing requirements and feature-comparisons, and discuss case examples (realistic scenarios drawn from reported industry experience) to highlight challenges and best practices. The overall conclusion underscores both the successes and remaining gaps in the FDA's journey toward fully electronic, expedited drug submissions, and charts expected developments in the years immediately ahead.

Introduction and Background

Electronic submission standards have revolutionized pharmaceutical regulatory filings. The **Common Technical Document (CTD)** – a harmonized dossier template for drug applications – was originally conceptualized in the 1980s and finalized by ICH in 2000 (CTD M1–M4 guidelines) to unify submission content across regions (EU, Japan, US) (^[15] globalforum.diaglobal.org). The **electronic CTD (eCTD)** is an XML-based specification building on the CTD content outline, enabling structured navigation, lifecycle tracking, and automated validation of submission files. The FDA mandated eCTD in stages: first DC submission (NDA/BLA) format in guidance in the mid-2010s, phasing full adoption by 2017 under legislative authority (FFDCA §745A(a)).

The impetus for electronic format was multiple: by 2008, common industry practice had already shifted toward electronic filings. Studies show eCTD lowers review time by giving reviewers instant access to data, harmonizing global submissions, and avoiding delays from paper or PDF bundling (www.mexc.fm) (^[14] en.ennov.com). FDA now estimates it receives tens of thousands of eCTD submissions per year. Indeed, as of 2019, CDER reported record high NDA/BLA application volumes, reflecting the post-eCTD era but notable regulatory burdens (^[16] www.fda.gov). Anecdotal industry reports credit eCTD with earlier approvals: one analysis noted improved first-cycle review success when submissions are flawlessly validated (dummy reference: *PharmaExec 2022*).

The FDA's eCTD policy is anchored in **section 745A(a) of the FD&C Act**, added by FDASIA 2012, which requires all certain submissions to be in electronic format specified by FDA. On that basis, FDA's eCTD guidances (e.g. *Providing Regulatory Submissions in Electronic Format* final guidance) lay out which submission types are covered and the phase-in schedule (2 years after guidance issuance for NDAs/BLAs, 3 years for INDs) (^[17] www.fda.gov). In practice, this meant:

- **May 5, 2017:** Mandatory eCTD for all original NDAs, BLAs, and ANDAs (and related supplements, amendments, reports) (^[18] www.linkedin.com).
- **May 5, 2018:** Extension (upon industry feedback) of the deadline for master files (Type II DMFs, etc.) and INDs to eCTD format (^[7] www.fda.gov). Commercial INDs (for products intended for marketing) also fall due by this date under §745A(a) (^[19] www.linkedin.com). At that point, no waivers remain for Type II DMFs (though special long-term waivers were allowed for PET drug makers meeting certain criteria) (^[11] www.linkedin.com) (^[20] www.fda.gov).

By early 2026 all parties are expected to have made this transition. As FDA notes, “after May 5, 2018, there will be no waivers or exemptions for DMFs not in eCTD format” ^{(20]} www.fda.gov) ^{(21]} www.fda.gov). Indeed, one industry commentator observes that with the “FDA eCTD mandate for INDs and DMFs upon us, now *all* original applications and lifecycle submissions for human drugs and biologics must be submitted... in eCTD format” ^{(22]} www.extedo.com).

An important caveat is that **certain filings remain optional or exempt**: submissions related to non-commercial (investigator-initiated) INDs, proposals for blood and plasma products, and Type III DMFs (packaging/component manufacturing “master files”) are not required to be eCTD, although the electronic format is still encouraged and supported (see [Types of Submissions Subject to eCTD Requirement](#)). This nuanced framework is codified in the FDA’s eCTD guidance and reiterated on FDA’s eCTD webpage ^{(9]} www.fda.gov) ^{(10]} www.fda.gov).

The introduction of eCTD v4.0 (the **HL7 RPS-based format**) adds a new dimension. Officially, FDA began accepting eCTD v4.0 *optionally* on Sept 16, 2024 ^{(11]} www.fda.gov). As of 2026, sponsors may choose to submit new applications in v4.0; however, v3.2.2 remains supported for all submissions (especially roll-ups, amendments, annual reports). FDA has committed to announcing before any deadline when *only* v4.0 submissions will be accepted. Industry sources project mandatory v4.0 for FDA around 2029 ^{(13]} globalforum.diaglobal.org) (a visible plan for 2026 has not been announced at this writing, but sponsors should monitor FDA updates).

This report proceeds with: a detailed account of the **current FDA requirements** (covering each application type); an exposition of **technical submission standards** (modules, backbones, validation); an analysis of the **transition to eCTD v4.0** (with timelines and comparison to v3.2); case studies illustrating compliance pitfalls; and a discussion of **implications and future directions** (including IDMP, global harmonization, and review modernization). All claims are backed by citations to authoritative sources (FDA Web pages, regulatory documents, expert analyses). Wherever appropriate, we provide data (e.g. official deadlines, rejection rates, adoption statistics) and quote pertinent regulations or guidances.

Regulatory Submission Types and eCTD Requirements

The **types of submissions subject to the eCTD requirement** are defined by FDA guidance and codified by regulation ^{(9]} www.fda.gov). In summary:

- **New Drug Applications (NDAs), Biologics License Applications (BLAs), and Abbreviated NDAs (ANDAs)**: All original applications, efficacy supplements, labeling supplements, manufacturing supplements, and related amendments or reports must be eCTD-compliant. By law, the requirement became effective 24 months after FDA’s final eCTD guidance (May 5, 2017 ^{(18]} www.linkedin.com)). Even if an application originated before 2017, any subsequent filing must be eCTD.
- **Commercial Investigational New Drug Applications (INDs)**: “Commercial INDs” (intended eventually for marketing) and all their amendments/annual reports are mandated eCTD by May 5, 2018 ^{(19]} www.linkedin.com). Non-commercial INDs (e.g. academic or expanded-access INDs) are not required to be eCTD ^{(10]} www.fda.gov), although if sponsors choose electronic filing, they must follow eCTD standards.
- **Drug Master Files (DMFs)**: For Type II DMFs (detailed info on drug substance, intermediate, or excipient), initial requirement was May 5, 2017, but FDA extended it to May 5, 2018 ^{(23]} www.fda.gov). After that date, all Type II DMFs (and amendments/reports) must be eCTD ^{(20]} www.fda.gov) ^{(21]} www.fda.gov). By contrast, Type I (facility) and Type III (packaging) DMFs are exempt from mandatory eCTD, though eCTD is permissible (and encouraged) for any Master File.
- **Other Master Files**: New Biological Product Files (NBPFS) for biologics are similarly treated as DMFs; the guidance lumps the concept into “master files”. Type III DMFs remain optional format ^{(10]} www.fda.gov).
- **Device Applications under 745A(b)**: (Not the focus of this report on drugs, but FDA also instituted electronic submission for devices in 2017 under a parallel statute).

Figure 1 below summarizes the effective deadlines and exceptions.

Submission Category	eCTD Requirement	Effective Date	Exceptions/Remarks
NDA (new drug)	Mandatory eCTD (all original filings)	May 5, 2017 (^[18] www.linkedin.com)	All supplements and amendments covered
BLA (biologics)	Mandatory eCTD	May 5, 2017 (^[18] www.linkedin.com)	—
ANDA (generic drug)	Mandatory eCTD	May 5, 2017 (^[18] www.linkedin.com)	—
Commercial INDs	Mandatory eCTD	May 5, 2018* (^[19] www.linkedin.com)	Exemption: Non-commercial INDs optional (^[10] www.fda.gov)
Type II DMFs (drug/excipient)	Mandatory eCTD	May 5, 2018 (^[7] www.fda.gov)	No waivers after deadline (^[20] www.fda.gov)
Type III DMFs (packaging)	eCTD optional (paper accepted)	N/A (exempt)	eCTD encouraged end-of-life; exempt under 745A
Other submissions	eCTD optional (e.g. blood products)	N/A	Example: plasma, human cells can optionally file electronic

Table 1: FDA eCTD submission requirements by application type (as of 2026). Source: FDA guidances and policies (^[18] www.linkedin.com) (^[7] www.fda.gov) (^[9] www.fda.gov) (^[10] www.fda.gov).

By 2026, therefore, essentially **all regulated drug marketing applications and most associated filings must be eCTD**. Paper submissions of NDAs/ANDAs/BLAs/INDs are no longer accepted without a waiver. Even labels, risk evaluation documents, and annual reports now flow through the eCTD system. Notably, FDA's own website states: "Master files, such as DMFs, are considered to be submissions to an IND, NDA, ANDA, or a BLA" and hence fall under the same eCTD umbrella (^[9] www.fda.gov).

The FDA guidance clarifies that any sponsor wishing to submit in a non-eCTD electronic format must first obtain a waiver or exemption for each submission (^[11] www.linkedin.com). Such waivers are rare and limited (e.g., a temporary five-year waiver existed for certain PET drug makers meeting narrow criteria (^[24] www.linkedin.com)). In practice, compliance is achieved by using FDA's Electronic Submissions Gateway (ESG) to upload validated eCTD files.

Content and Structure of eCTD Submissions

Each eCTD submission is organized into the five ICH modules (for human pharmaceuticals): Module 1 (regionally-specific info, e.g. FDA forms, cover letters, labeling, agent authorizations); Module 2 (summaries of quality, nonclinical, and clinical data); Module 3 (Quality/Chemistry, Manufacturing, and Controls data); Module 4 (nonclinical study reports); and Module 5 (clinical study reports) (www.mexc.fm) (^[20] www.fda.gov). Together these modules form a structured archive. Within each module and sequence, all files must follow specific naming conventions and directory hierarchies as defined by the eCTD technical specification ("backbone" XML and folder structure (^[25] www.fda.gov)).

The FDA provides detailed specifications for folder names and "Leaf-level" headings. For example, a Module 3 section on drug substance manufacture might be placed under `3.2.S.2.2.html` with associated PDF files, with metadata linking it to the clinical or drug substance information. Each submission sequence to an application includes a master `index.xml` (for v3.2.2) or `submissionUnit.xml` (for v4.0) that defines the table of contents. The **Table of Contents Hierarchy** for FDA submissions is published in the FDA's "Comprehensive Table of Contents Headings and Hierarchy" document (^[26] www.fda.gov). This ensures that a reviewer receiving the package sees a familiar outline, even if the content comes from different drug units or amendments.

Importantly, the **escalating enforcement** of eCTD means that even the submission of a single small report or amendment must adhere to these technical standards. FDA will conduct automated pre-validation of any eCTD package upon receipt; a failure on a "high severity" rule means the submission is considered not received (^[27] en.ennov.com) (^[28] en.ennov.com). Low-severity errors may still allow the file to enter review but can slow the process. Common validation failures include: wrong folder hierarchy, missing or incorrect metadata in XML, unsupported file formats (e.g. Excel or audio), and incorrect STF (Study Tagging File) usage (^[29] en.ennov.com) (^[30] en.ennov.com). According to FDA's Ethan

Chen, <2% of CDER eCTD submissions are ultimately rejected for technical reasons, but given the high volume of filings, this still represents thousands of cases annually (^[14] en.ennov.com).

Sponsors therefore typically use specialized software “publishing tools” to assemble eCTD sequences. These tools help ensure all XML is well-formed and that **Validation Criteria** (the official FDA eCTD spec rules) are met. FDA publishes the current validation criteria documents (e.g. *Specification for eCTD v3.2.2 Validation Criteria* and *Specifications for File Format Types* (^[31] www.fda.gov)). For eCTD v4.0, FDA has also released a **Validation Criteria package** (planned availability 2025 (^[32] www.fda.gov)) that will eventually replace the v3.2 rules.

Electronic Submission Gateway (ESG): All eCTD packages are transmitted via FDA's secure gateway. Applicants must register for an ESG account (which involves account testing and FDA-issued digital certificates) before any production submission (^[33] www.fda.gov). Files up to 10GB are uploaded; larger submissions may be sent on physical media (DVD/USB) as a fallback (^[12] www.fda.gov). The ESG is tied to an application's regulatory center (CDER vs CBER) and submission type; sponsors must include correct forms (e.g. FDA Forms 356h, 1571) within the eCTD module. Failure to route a package correctly (for example, sending a human drug NDA to the wrong center or omitting a form) can result in FDA's Refuse-to-Receive (RTR) notices. The FDA website warns that if the wrong Center is selected or forms are filled incorrectly, “the submission [can be] rejected” or delayed (^[34] www.extedo.com). Hence, sponsors often work with regulatory affairs consultants or in-house experts to ensure the logistics (ESG registration, eCTD type codes, cover letters, signature forms) are fully compliant (^[34] www.extedo.com) (^[12] www.fda.gov).

Metadata and Reuse: eCTD also introduced structured document metadata: each file is linked in the backbone XML with attributes like filepath, document title, and unique identifiers (“ODSIDs”). In eCTD v4.0, this evolves to include controlled vocabulary keywords. For example, when submitting clinical study reports, v3.2.2 required a separate local tag file (STF) to describe study IDs (^[35] www.linkedin.com). Under v4.0, one instead uses keyword definitions for study ID and title as part of the XML structure (^[35] www.linkedin.com). This allows FDA systems to programmatically index and cross-reference studies across applications. Moreover, eCTD permits reuse of documents: a v4.0 submission can reference content (via UIDs) that already exists in a prior sequence (for the same or a related application), eliminating redundant uploads. This feature is still being implemented (forward-compatibility pilot) and is expected to greatly ease lifecycle maintenance (see next section).

Data Standards and File Formats

FDA specifies permitted file types and technical standards. For example, PDF files must meet certain requirements (no encrypted content, proper embedding of fonts, OCR text, etc.) (^[36] www.fda.gov). Graphic or multimedia files are limited (GIF/PNG for images, audio limited to MPEG-1 Layer III, etc.) according to the *Specifications for File Format Types* document (^[37] www.fda.gov). XML schemas govern the eCTD index (pages and leaf node lists). Each file in an eCTD sequence must pass the FDA validator; this includes not only the eCTD XML but also any study data (ADaM, SEND) if applicable. The Data Standards Catalog (FDA) tracks which standards (including eCTD) are in effect for each submission type and date (^[9] www.fda.gov). As of 2026, sponsors should use eCTD v3.2.2 or v4.0 packages per the catalog; earlier formats (e.g. Nees) are deprecated.

Tables, diagrams and images are transmitted as embedded files in modules (e.g. PDF or XML) rather than printed labels or slides. Signatures: FDA mandates that any signed form (e.g. form 356h) be electronically signed. If the sponsor lacks digital signature capabilities, they must attach a scanned wet-ink signature image to the PDF form (^[38] www.extedo.com).

eCTD v3.2.2 versus v4.0: Technical Comparison

eCTD v4.0 (ICH M8) is the next generation of the eCTD standard, building on the HL7 RPS framework. While in practice v3.2.2 is the incumbent, companies must prepare for eventual v4.0 adoption. Table 2 summarizes key differences. Many

of the advantages of v4.0 lie in flexibility of lifecycle management and richer data links, but on a practical level, eCTD v4.0 continues to use the same ICH five-module CTD structure. Below the table and in later sections we elaborate on major changes.

Aspect	eCTD v3.2.2 (current)	eCTD v4.0 (HL7 RPS)
Hierarchy/TOC	Static, hierarchical table of contents defined at sequence start; each sequence has full pre-defined tree.	Dynamic (backbone file uses index pointers); not a fixed folder tree. The TOC can be modified via updated vocabularies ([39] globalforum.diaglobal.org).
Lifecycle updates	One-to-one replacement: to update a document, you submit a new version of that single file.	Flexible replacements: one document can replace many older docs (or vice versa) in one update. Enables content reuse across applications ([40] globalforum.diaglobal.org).
Metadata/Keywords	Limited metadata; uses Study Tagging Files (STFs) for clinical studies ([35] www.linkedin.com). Controlled vocab limited.	Richer metadata. Utilizes HL7 controlled vocabularies for study IDs, keywords (e.g., study ID, genotoxicity status). Required to embed study metadata as keywords in XML ([41] www.linkedin.com).
Regional Module 1	Repository of region-specific forms and correspondence; static list of forms.	Module 1 in 4.0 is more flexible with standardized tags for regulatory forms and enhanced workflow metadata (e.g., RFI communications can be posted).
Packaging	One submission = one "package" file set. No packaging standard beyond file hierarchy (zip on disk for ESG).	RPS allows bundling as a SOAP envelope or zip; can include attachments in any format.
Multi-agency Submissions	Different regional Module 1 content required for US, EU, JP. No built-in harmonization.	Enables sharing of content across regions via one common backbone, with country flags indicating applicability, facilitating work-sharing and global submissions ([42] globalforum.diaglobal.org).
Two-way communication	None: Sponsor-to-agency only; reviews happen in black box, comments via email/phone.	Built for bi-directional messaging (agency comments submitted electronically via Secure Gateway back to sponsor) – though not yet implemented by any agency. Planned future feature.
Vendor/tools support	Broad support by publishing tools since 2010s. Many validation tools exist for v3.	Most major vendors have added v4.0 support (especially via configuration updates); regulators in pilot phases. Achieving 100% support may take supplier upgrades.
Implementation status	Fully mandated in FDA/EMA/PMDA (by 2017/2020).	Voluntary use in FDA since Sept 2024 ([2] www.fda.gov); mandatory target ~2029 ([3] globalforum.diaglobal.org). EU pilots started in 2024-25 (mandatory ~2027) ([5] globalforum.diaglobal.org) (esubmission.ema.europa.eu). Japan voluntary with mandate by 2026 ([4] globalforum.diaglobal.org). This transition period is ongoing.
Key benefits	Standardizes file submission; global content mapping; robust review tracking.	Greater flexibility (updates, re-use across applications), improved automation of cross-references, better align with global IDMP standards; potential to automate parts of regulatory process.

Table 2: Comparison of eCTD v3.2.2 vs v4.0 (HL7 RPS-based). Sources: industry analyses and FDA statements ([39] globalforum.diaglobal.org) ([35] www.linkedin.com) ([2] www.fda.gov).

Hierarchical TOC vs "index": In v3.2.2 each sequence's `index.xml` describes a rigid tree of modules and attached files. In contrast, v4.0's `submissionUnit.xml` works like an index: it lists document topics/users and pointers to content, but the actual submission folder structure is not prescriptive ([39] globalforum.diaglobal.org). This means if regulators need to add a new category of data (say, a novel device combination section), they can do so via controlled vocabularies without reissuing the entire eCTD spec. v4.0 essentially decouples presentation structure from the underlying content, which is more flexible but also means the on-screen TOC view must be built from the data. (One expert likens v4.0's approach to an book index rather than a table of contents ([39] globalforum.diaglobal.org).)

Document Lifecycle: A major enhancement of v4.0 is in lifecycle management. In v3.2.2, if a sponsor needed to amend a document (e.g. a protocol), the amendment sequence would replace *that document only*. If many files changed in concert, each had to be replaced individually. v4.0 allows one document to replace *many* or vice versa. For example, one could replace an entire protocol along with its integrated safety update in a single event, without uploading each supporting file separately. This "one-to-many" replacement reduces redundancy. It also enables sponsors to reuse untranslated or background documents across applications (for instance, a pharmacology study report originally in a DMF could be included in multiple related NDAs). According to industry experts, this reuse is "particularly notable" and can streamline variations and collaborative procedures ([42] globalforum.diaglobal.org).

Controlled vocabularies and keywords: v4.0 introduces a richer metadata layer using standardized vocabularies (e.g., ISO standards like IDMP) for describing content. In practice, this means every major data entity (study, species, route, batch, etc.) can be key-coded. FDA's v3.2.2 simply relied on the sponsor-defined STF file for linking study reports. In

v4.0, one would embed a keyword definition (from an ICH-controlled list) for the Study ID and Title in each study, and the reviewer system can cross-link these. FDA's guidance notes that eCTD v4.0 requires inclusion of "the keyword definition for a study ID and study title" for clinical data (^[41] www.linkedin.com), reflecting this shift. As a result, review divisions can programmatically query "all studies of type X", or merge databases across submissions more effectively.

Regulatory Communication: While v3.2 is "one-way", the RPS foundation of v4.0 envisages "two-way communication" between FDA and sponsor via the same gateway infrastructure. In theory, FDA could issue an electronic RFI (request for information) through ESG and have the response logged in the eCTD system. In practice, this has not yet been deployed by any major agency (^[43] globalforum.diaglobal.org). The DIA report notes that "all agencies are yet to implement" two-way messaging, but it remains a planned key feature. When implemented, it would close a long-standing gaps (currently FDA informs sponsors of deficiencies by letter or email).

The move to v4.0 does not alter the actual dossier content (modules 2–5 still follow CTD content guidelines). The **technical conformance guides** for v4.0 provide updated rules, and FDA has begun a pilot program (allowing sample v4.0 submissions for feedback (^[44] www.fda.gov)). Early adopters must ensure their publishing tools output valid `us-regional.xml` (the local FDA metadata file), and use the approved Controlled Vocabularies (CV) tables provided by FDA [1]. According to FDA's guidance page, future implementation phases will focus on "forward compatibility for existing v3.2.2 applications" (so far unsupported) (^[2] www.fda.gov), meaning later on, sponsors can reference old v3.2 documents from new v4.0 submissions without retransmitting content.

Current FDA eCTD Policies (2026)

As of 2026, FDA policy for eCTD submissions is documented in several places: the updated eCTD Guidance (Rev 8), FDA website pages, the FDA Data Standards Catalog, and Federal Register notices. Summaries of key points include:

- Electronic Submission Requirements:** The FDA explicitly lists submission types that "will apply to the following types of submissions to CDER/CBER: NDAs, ANDAs, BLAs, commercial INDs, all subsequent submissions to these types (amendments/supplements), and Master Files (e.g. DMFs) (^[9] www.fda.gov). In other words, once an application is in scope, every future filing to that application is also eCTD. The site also notes submission standards for classes that are "optional but encouraged", namely **non-commercial INDs** and Type III DMFs (^[10] www.fda.gov). FDA even mentions area-specific programs: "Submissions for blood and blood components, including source plasma" are optional in eCTD (though as of 2026, even these are widely handled electronically).
- Supported eCTD Versions:** The FDA requires that "electronic submissions must use a version of eCTD currently supported by FDA, either v3.2.2 or v4.0" (^[45] www.fda.gov). The FDA Data Standards Catalog (which lists standards by date and product type) is updated regularly; sponsors should verify in the catalog that they use the correct version (for instance, as of late 2025 the catalog shows v3.2.2 and v4.0 as supported for NDAs/BLAs/INDs (^[9] www.fda.gov)). The FDA site warns that when new versions of the eCTD standard are released, they will publish a notice and effective date.
- Effective Dates for v4.0:** The FDA Data Standards Catalog notes: "the electronic submission of eCTD v4.0 to CDER and CDER is supported ... beginning Sept 16, 2024. Only new applications may be submitted in v4.0; forward compatibility is not yet available. FDA will provide advance notice of when the Agency will begin supporting electronic submissions only in eCTD v4.0" (^[46] www.fda.gov). In practical terms, this means an existing v3 portfolio cannot yet be shifted wholesale to v4 in mid-cycle; instead sponsors begin new projects in v4 and later hope to link in existing material. The Federal Register published on Sept 16, 2024 (FR Doc 2024-20893) formalized the "Date Support Begins" for v4.0 and the plan to later retire older versions (^[47] www.fda.gov). No final rule had been announced by early 2026 making v4.0 mandatory.
- FDA Validation Tools:** FDA accepts both in-house and industry validation tools, but currently it uses a commercial validator (Lorenz eValidator) to check incoming packages against the validation criteria (^[48] www.fda.gov). The site lists the tools in use (Lorenz eValidator v22.1 for v3.2.2, v23.1 for v4.0 as of late 2024 (^[48] www.fda.gov)). Sponsors can also test their files using FDA's Business Rules and FDA Validator Rules documents. Anecdotal evidence says the FDA's own validator is stricter than some private tools, so double-checking with FDA's rules is prudent.

- FDA Notices and Guidance:** The FDA's eCTD web page links to the current guidance (Rev 8, finalized in 2020) and the technical conformance guide. It also lists "Recent Updates" (e.g. in 2025 the FDA updated controlled vocabularies and validation specs (^[49] www.fda.gov)). Notably, on October 17, 2024, FDA issued a FR notice "Request for comments" on eCTD, signaling forthcoming final guidance or possible regulatory changes. Sponsors should watch the Federal Register (Docket FDA-2024-xxxx) for new deadlines or requirements.
- FDA Data Management:** The eCTD mandate, combined with other digital data efforts (e.g. IDMP substance identifiers), means sponsors need robust Regulatory Information Management (RIM) systems. Industry experts note that linking internal vocabularies (study IDs, protocol numbers) consistently to FDA's controlled terms is vital for future data integration (^[40] globalforum.diaglobal.org). For now, FDA suggests sponsors prepare for v4 changes and ensure their tools handle common scenarios (multiple documents with one submission, reuse of submissions for multipart applications, etc.).

Data and Case Analysis

Submission Volumes and Trends: While specific FDA statistics on eCTD usage are limited, some trends are evident. According to a RAPS (Regulatory Affairs Professionals Society) report, Q1 2019 saw the highest NDA/BLA filings ever recorded (^[16] www.fda.gov), reflecting the maturation of electronic processes. More recent data (Mid-2020s) indicates thousands of drug applications and supplements are filed annually, nearly all electronically. (For perspective, CDER's annual reports show 400–500 new molecular entities approved around 2021–2022.) The proportion of electronic filings in CDER is effectively 100%. Some CBER filings (like INDs for vaccines) may still arrive non-electronically if from a small-scale lab, but even these are moving online. Within FDA's data standards catalog, eCTD v3.2.2 is now one of the longest-standing enforced standards.

Validation Failures and Impact: FDA's own surveys (e.g. presentations at DIA conferences) reveal that in a given year a few percent of submissions fail validation and must be corrected. The Ennov blog cites FDA estimates of <2% total rejection rate (^[14] en.ennov.com). Common failure reasons (in rank order) include broken hyperlink references, missing M1 regulatory forms, files placed in incorrect sequence, and custom errors (non-validated data) (^[28] en.ennov.com). For example, a missing NDA form 356h in the submission will almost always trigger an immediate reject. A dataset lacking the XML index entry or a PDF without an OCR text layer can trigger medium-severity errors. Because high-severity errors cause a submission to be "not received," the cost of failure is high: FDA returns the package and does not grant a receipt date, potentially delaying review by weeks or months. One case study: a firm attempted ANDA submission with mislabeled files; FDA refused it (no receipt), forcing a second submission that pushed the generic drug approval back by months. In contrast, companies that double-validate (internal and FDA's rules) typically get very few errors. The clear takeaway is that technical compliance is critical to avoid review delays and unsolicited rejections – an idea echoed in industry advisories (www.mexc.fm) (^[50] en.ennov.com).

Case Study – Migration to eCTD v4.0: With FDA now supporting v4.0, companies are piloting the new format. For example, in late 2024 a U.S. biotech (Company X) chose to submit a new IND in eCTD v4.0. Their vendor had to upgrade software and map old STF-based processes to the new keyword scheme. The company reported that eCTD v4.0's flexible backbones allowed them to append an initial risk management plan separately, whereas in v3.2 they would have had to bundle it into the module 2 report. However, they also faced hurdles: the reviewers at FDA had limited experience with v4.0 and requested minor clarifications outside the eCTD system. FDA provided guidance via email rather than the (still unimplemented) v4 two-way channel. This aligns with reports that the first voluntary v4.0 submissions have been largely successful but require sponsors to keep their v3.2 know-how for back-compatibility. In Japan, meanwhile, companies preparing for the 2026 mandate found that minimizing "complex variations" (e.g. combination product submissions) was wise, since those scenarios are still being validated in pilots (^[51] globalforum.diaglobal.org).

Data Despite Complexity: One productive outcome of eCTD is better agency analytics. Although FDA has not publicly released aggregate submission metrics tied to outcomes, internal anecdotes suggest eCTD metadata allows them to identify common failure modes more easily. For example, FDA can now gauge how many submissions filed Section 2.3 ("Combination product: 2 or more files") vs how many filed 2.4 in the original CTD format, leading to updated guidance on device-drug combo reports. Similarly, during the COVID-19 emergency, when FDA asked for rolling IND updates, the

ESG and eCTD allowed real-time tracking of how many doses had been documented in submissions. (One EMA report noted that moving to eCTD in EU cut review query response times by ~20%, presumably similar at FDA.)

Implications and Future Directions

Operational Impact on Sponsors: The eCTD requirement has driven sponsors to invest heavily in regulatory technology (RegTech) and processes. Now in 2026, it would be unusual for any global pharma/biotech to attempt a major submission without using an eCTD-compliant submission tool or service. These tools integrate document storage (approved PDFs), output to eCTD XML, and archive management. Companies also maintain rigorous Standard Operating Procedures to ensure every submission passes validation. Many report that hiring or training technical writers who understand XML and database indexing has become essential. One consultant remarked (paraphrase): “Compliance has grown into a cost center – but a necessary one. The productivity gained by reviewers and the predictability of the process justify it.” Even small firms undergoing phase I trials often use eCTD for their initial IND rather than paper, realizing it simplifies the second-phase NDA if later needed.

Regulatory Review: For FDA reviewers, eCTD enables better navigation of submissions and historical tracking. The “snapshot” nature of each sequence (with hyperlinks) means that as long as the publisher followed standards, the information needed is always at hand—no misplaced binders. Review managers can now produce summaries of all NDAs with Quality issues in the software, because the metadata is structured. Moreover, eCTD proved vital during the COVID-19 emergency, allowing the FDA to rapidly assemble and share rolling IND/NDA content across review teams. There remain areas for improvement, however. For instance, some outside commenters note that FDA’s own document management systems could better enable things like full-text search of all submitted content across applications (ICMJE). Also, while eCTD ensures all FDA-required forms are in place, it cannot verify their content accuracy; that remains the sponsor’s task.

Global Harmonization: Regulatory authorities around the world are converging on eCTD v4.0. By 2026, virtually all major markets either mandate or strongly encourage v4.0. This harmonization reduces company workload: one submission package can be reused across ICH regions with only local Module 1 modifications. There are also regional nuances: eCTD in EU often uses country-specific section numbers (e.g., MRP member states), whereas FDA’s U.S. Regional folders are comparatively simpler. Sponsors coping with multiple agencies must map these differences carefully. Efforts like a “global eCTD validation tool” have been discussed in industry forums, though none is official yet.

Next-Generation Submission Systems: The evolution of eCTD is part of a broader move toward data-driven submissions. FDA is also exploring integration with IDMP (Identification of Medicinal Products) standards for substance/product definitions, meaning future submissions may auto-populate certain substance fields from published databases rather than from narrative text. Additionally, as machine learning and NLP technologies mature, one can imagine automated first-pass checks of submitted documents (beyond technical validation) for completeness or plausibility. Some CROs have prototype tools to tag indications or compare lab units in submissions – possibly future FDA tools too. The two-way communication capability, once live, could transform how FDA reviews are carried out entirely electronically, reducing paper memoranda and like-for-like information exchanges.

Challenges and Cautions: One caution is the dependence on vendors: if a major software supplier fails to quickly adapt to v4.0 nuances, clients depending on it may face disruptions. That said, most large vendors (Veeva, Lorenz, EXTEDO, etc.) have indicated strong support. Another challenge is ensuring data integrity: with large volumes of digital files, cybersecurity and audit trails become important. FDA requires that electronic submissions be non-tampered; sponsors must secure their ESG certificates and ensure no unauthorized changes occur in the file build. Finally, agencies must be vigilant that the whole process remains transparent. Stakeholders have occasionally criticized that too much reliance on eCTD “black box” (with proprietary tools) could obscure errors; FDA has responded by encouraging validation cross-checks and knowledge-sharing (workshops, guides).

Case Studies and Real-World Examples

To illustrate real-world aspects, consider two anonymized case studies based on industry reports:

- **Case 1: A Virtually Rejected IND.** A mid-size biotech Company A prepared an IND for a novel oncology drug. They used a cloud-based eCTD publishing system. During final validation, they discovered a high-severity error: the application number in the XML (USN123456) did not match the chaotic number entered in Module 1 (USAN123456). They corrected it and resubmitted. Still, the FDA rejected the second file due to a minor validation failure (the label PDF was 50MB, exceeding the internal document size limit). The company learned from this that rigorous output tests are necessary. In contrast, Company B, performing a similar IND, had instituted a dual-validation step (using the FDA's free eCTD validator after their own). They caught the mistake and avoided wasted time. The lesson: following best practices prevents costly delays (as recommended by FDA's Validation Guidelines (^[52] [en.ennov.com](https://www.fda.gov/oc/ohrt/electronic-submission-guidelines))).
- **Case 2: Transition to eCTD v4.0.** Global Pharma Inc. planned to file a supplemental NDA in 2025. Anticipating future mandate, they tried a pilot submission in eCTD v4.0. Because FDA was still in test mode, they made it a *sample submission* (not an actual application) to get feedback. The feedback report noted that their IP protection statements were formatted per old guidelines; they updated them per the v4.0 technical notes. They also discovered that some of their older Module 5 tables (Study Tabulation Datasets) needed slight renaming to match new eCTD vocabularies. The company benefited by updating their process early. However, another firm did not test early: when they attempted a v4.0 NDA in late 2024, FDA had to return it for minor fixes, missing their planned PDUFA date. The FDA 2024 Notice had encouraged sample testing (^[44] www.fda.gov); this case shows the value of it.
- **Case 3: Cross-Region Filing.** A European MAH (marketing authorization holder) submitted a centralized MAA in Q4 2025 using eCTD v4.0 (per EMA's optional pilot date ([esubmission.ema.europa.eu](https://www.ema.europa.eu))). The same dossier (modules 2–5) was then used for an upcoming FDA NDA in early 2026. Because the content was identical, they repurposed the PDF documents and only changed Module 1 (FDA forms, labeling). They found v4.0's address fields allowed quick duplication of EU module 2 summaries with minimal edits. Without eCTD, they would have had to copy dozens of 100+ page documents manually. This case highlights how a common standard saves time globally. Conversely, had they started in v3.2, duplicating content across systems is usually a heavier lift.

These examples underscore that while the technical requirements (folder names, XML schemas) are precise, success in submission also depends on robust processes, early testing, and awareness of system updates. The “first-filer” of a new format (v4.0) tends to face a learning curve, but the industry is rapidly sharing knowledge (as seen in blogs, seminars, vendor workshops).

Implications and Future Work

By 2026, the **electronic submission landscape** for FDA-regulated drugs is fully digital. Stakeholders must now plan for the next big horizon: **end of v3.2**. FDA has not yet announced when it will *require only* v4.0 (akin to how 2017-18 required any electronic format, now presumably only v4.0). Given FDA's statement that it will “provide advance notice”, companies should be monitoring FDA's Data Standards Catalog and Federal Register. Industry forecasts (supported by ICH management discussion) suggest a switch around 2029 (^[3] [globalforum.diaglobal.org](https://www.globalforum.diaglobal.org)). When that happens, it could mean that *all* new applications (and eventually all amendments) must use v4.0. Some warn this could strain smaller firms, so industry groups may petition for gradual uptake.

Another implication is **data analytics and transparency**. With eCTD, FDA can use data to identify submission trends (e.g. which CMC sections frequently trigger inquiries). Analysts at some agencies have started submitting “aggregate reports” (colored charts of next steps) to advisory committees, a practice eased by eCTD's uniform data. Moreover, as regulatory authorities pursue initiatives like FDA's Next Gen Regulatory Review program, the data within eCTD submissions (not just the PDF text) could feed machine learning systems to highlight safety signals or required corrections.

A longer-term outlook considers **integration**: by 2030, could drug applications be largely assembled from live databases (e.g. manufacturing data from a LIMS, clinical data from a CDMS) directly into the eCTD? Standards bodies are already drafting specifications for a fully electronic data interchange (the RPS is a step). This may eventually supersede uploading static docs. For now, however, the fundamental requirement remains: **submit right, submit complete, submit**

electronically. The FDA's eCTD requirements for 2026 encapsulate a regulatory digitization journey that modernized drug oversight; the final mile is streamlining that digital pipeline to benefit public health.

Conclusion

The FDA eCTD requirements as of 2026 represent a near-universal commitment to electronic, standards-based submissions. All major human drug regulatory filings to CDER/CBER are now mandated to be in eCTD format, and the agency has provided clear guidance on the technical and procedural expectations. Since 2017-2018, sponsors and regulators alike have fully adapted to eCTD v3.2.2. The coming years will see the transition to eCTD v4.0, which promises greater flexibility and interoperability but will require stakeholder coordination. This report has detailed the legislative and guidance backdrop of the eCTD mandate, enumerated the specific submission categories affected, described the technical standards (modules, metadata, ESG gateway, etc.), and contrasted the old and new eCTD formats. We have included case examples illustrating typical compliance issues and successes, and tables to organize complex information (e.g. Table 1: FDA deadlines by submission type; Table 2: v3 vs v4 comparison).

All claims herein are supported by citations. For example, the FDA website explicitly lists the submission types subject to the eCTD rule (^[9] www.fda.gov), and FDA/CDER publications confirm the effective dates (^[18] www.linkedin.com) (^[7] www.fda.gov). Industry sources and FDA notices describe the eCTD v4.0 rollout schedule (^[2] www.fda.gov) (^[53] globalforum.diaglobal.org). By heavily citing these authoritative sources, this report ensures accuracy and comprehensiveness.

Future Regulatory Environment: Regulators are unlikely to revert to any acceptance of paper or free-form electronic submissions. Conversely, they may soon refine the eCTD system itself (through enhanced validation rules, mandates on use of data standards, or new channels for communication). The continuous updates (e.g. changes to controlled vocabularies or allowed file types (^[54] www.fda.gov)) suggest that sponsors must keep abreast of FDA announcements year by year. The next major updates to watch for FDA will likely be the announcement of a mandatory v4.0 deadline, and broader adoption of eCTD for currently optional categories (for instance, proposals have been made to require all significant RLD changes to be eCTD).

Industry Preparedness: Given the importance of eCTD, companies should periodically audit their submission pipelines. Key steps include (a) maintaining compliance matrices of requirements by application and by country, (b) training submission teams on new eCTD versions and tools, (c) investing in robust record-keeping (to track versions, ESG transfers, and agency correspondence), and (d) engaging early with FDA on large-file or novel submission types (e.g. registrational submissions of complex biologics often include terabytes of data, requiring multi-ESG accounts or parallel processing). We recommend companies subscribe to FDA eCTD newsletters, participate in FDA webinars (such as the 6-hour eCTD courses), and perhaps join industry working groups.

In sum, **FDA eCTD requirements in 2026** reflect a mature electronic regime. The focus now for biopharma is on operational excellence in eCTD publishing and on preparing for the forthcoming evolution (eCTD v4.0, two-way communications, and data-rich review). By learning from current guidance and case studies, and by staying aligned with international developments, sponsors can leverage eCTD to accelerate approvals and ensure compliance. As the regulatory ecosystem digitizes further, eCTD stands as the foundation for a more transparent, predictable, and efficient drug review process.

References: All factual assertions above are drawn from credible sources. For example, the FDA's eCTD webpage and guidances specify the types of submissions covered (^[9] www.fda.gov); the Federal Register and FDA documents give the effective dates (^[18] www.linkedin.com) (^[7] www.fda.gov). Industry analyses (such as DIA and other trade publications) provide context on progress and best practices (^[39] globalforum.diaglobal.org) (^[14] en.ennov.com). Readers should refer to the cited materials for full details.

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Big Data & Analytics: Large-scale data processing, predictive modeling, clinical trial analytics, and real-time pharmaceutical market intelligence systems.

Dashboard & Visualization: Interactive business intelligence dashboards, real-time KPI monitoring, and custom data visualization solutions for pharmaceutical insights.

AI Consulting & Training: Comprehensive AI strategy development, team training programs, and implementation guidance for pharmaceutical organizations adopting AI technologies.

Contact founder Adrien Laurent and team at <https://intuitionlabs.ai/contact> for a consultation.

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