# Data Standards for Drug and Biological Product Submissions Containing Real-World Data Guidance for Industry

### DRAFT GUIDANCE

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For questions regarding this draft document or the Real-World Evidence Program, please email <a href="mailto:CDERMedicalPolicy-RealWorldEvidence@fda.hhs.gov">CDERMedicalPolicy-RealWorldEvidence@fda.hhs.gov</a>.

U.S. Department of Health and Human Services
Food and Drug Administration
Center for Drug Evaluation and Research (CDER)
Center for Biologics Evaluation and Research (CBER)

October 2021 Real-World Data/Real-World Evidence (RWD/RWE)

# Data Standards for Drug and **Biological Product Submissions Containing Real-World Data** Guidance for Industry

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**U.S. Department of Health and Human Services** Food and Drug Administration **Center for Drug Evaluation and Research (CDER) Center for Biologics Evaluation and Research (CBER)** 

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### **Data Standards for Drug and Biological Product Submissions Containing Real-World Data** Guidance for Industry<sup>1</sup>

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binding on FDA or the public. You can use an alternative approach if it satisfies the requirements of the

applicable statutes and regulations. To discuss an alternative approach, contact the FDA staff responsible

This draft guidance, when finalized, will represent the current thinking of the Food and Drug

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### I. INTRODUCTION AND SCOPE

for this guidance as listed on the title page.

### 21st Century Cures Act and Real-World Data

The 21st Century Cures Act, 2 signed into law on December 13, 2016, is intended to accelerate medical product development and bring innovations faster and more efficiently to the patients who need them. Among other provisions, the 21st Century Cures Act added section 505F to the Federal Food, Drug, and Cosmetic Act (FD&C Act) (21 U.S.C. 355g). Pursuant to this action, calling for FDA to issue guidance on the use of real-world evidence (RWE) in regulatory decision-making, FDA has created a framework for a program to evaluate the potential use of real-world data (RWD) to generate RWE to help support the approval of new indication(s) for drugs<sup>3</sup> already approved under section 505(c) of the FD&C Act (21 U.S.C. 355(c)) or to help support or satisfy post-approval study requirements (RWE Program).<sup>4</sup>

This guidance provides recommendations to sponsors for complying with section 745A(a) of the FD&C Act (21 U.S.C. 379k-1(a)) when submitting RWD as study data in applicable drug submissions. FDA is issuing this guidance as part of its RWE Program and to satisfy, in part, the mandate under section 505F of the FD&C Act (21 U.S.C. 355g) to issue guidance on the use of RWE in regulatory decision-making.<sup>5</sup>

<sup>&</sup>lt;sup>1</sup> This guidance has been prepared by the Center for Drug Evaluation and Research (CDER) in cooperation with the Center for Biologics Evaluation and Research (CBER) at the Food and Drug Administration.

<sup>&</sup>lt;sup>2</sup> Public Law 114-255.

<sup>&</sup>lt;sup>3</sup> For the purposes of this guidance, all references to *drugs* include both human drugs and biological products.

<sup>&</sup>lt;sup>4</sup> See Framework for FDA's Real-World Evidence Program (December 2018), available at https://www.fda.gov/media/120060/download. The framework and RWE Program also cover biological products licensed under the Public Health Service Act.

<sup>&</sup>lt;sup>5</sup> See section 505F(e) of the FD&C Act.

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This guidance addresses considerations for the use of *data standards*<sup>6</sup> currently supported by FDA in applicable drug submissions containing study data<sup>7</sup> derived from RWD sources. For the purposes of this guidance, FDA defines *RWD* as data relating to individual patient health status or the delivery of health care routinely collected from a variety of sources. Examples of RWD include data from *electronic health records* (EHRs); *medical claims data*, data from product and disease *registries*; patient-generated data (including data from in-home-use settings); and data gathered from other sources that can inform on health status, such as mobile devices.

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The contents of this document do not have the force and effect of law and are not meant to bind the public in any way, unless specifically incorporated into a contract. This document is intended only to provide clarity to the public regarding existing requirements under the law. FDA guidance documents, including this guidance, should be viewed only as recommendations, unless specific regulatory or statutory requirements are cited. The use of the word *should* in FDA guidance means that something is suggested or recommended, but not required.

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### II. REGULATORY BACKGROUND

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Under section 745A(a) of the FD&C Act, at least 24 months after the issuance of a final guidance document in which FDA has specified the electronic format for submitting certain submission types to the Agency, such content must be submitted electronically and in the format specified by FDA.<sup>8</sup> The guidance for industry, *Providing Regulatory Submissions In Electronic* Format — Standardized Study Data (Study Data Guidance), and the technical specifications referenced therein describe electronic submission requirements under section 745A(a) of the FD&C Act for clinical and nonclinical study data contained in new drug applications (NDAs), abbreviated new drug applications (ANDAs), certain biologics license applications (BLAs), and certain investigational new drug applications (INDs) submitted to the Center for Drug Evaluation and Research or the Center for Biologics Evaluation and Research. 9 Given that these electronic submission requirements apply to study data submitted in the covered application types, they apply to RWD that is submitted as study data in such applications. That is, RWD submitted as study data to NDAs, ANDAs, certain BLAs, and certain INDs, as further described in section II.A of the Study Data Guidance, must be in an electronic format that the Agency can process, review, and archive, unless such submission is exempt from the electronic submission requirements or if FDA has granted a waiver. 10 Currently, as stated in the Study Data Guidance,

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<sup>&</sup>lt;sup>6</sup> See the Glossary (section VII) for definitions of words and phrases that are in bold italics at first mention throughout this guidance.

<sup>&</sup>lt;sup>7</sup> See FDA guidance for industry *Providing Regulatory Submissions in Electronic Format* — *Standardized Study Data* (June 2021). We update guidances periodically. For the most recent version of a guidance, check the FDA guidance web page at <a href="https://www.fda.gov/regulatory-information/search-fda-guidance-documents">https://www.fda.gov/regulatory-information/search-fda-guidance-documents</a>.

<sup>&</sup>lt;sup>8</sup> For additional information on how FDA interprets and intends to implement the electronic submission requirements of section 745A(a) of the FD&C Act, see guidance for industry *Providing Regulatory Submissions in Electronic Format – Submissions Under Section 745A(a) of the Federal Food, Drug, and Cosmetic Act* (December 2014).

<sup>&</sup>lt;sup>9</sup> See section II of the Study Data Guidance for more information on the types of submissions subject to electronic submission requirements for standardized study data and what submissions are exempt from such requirements.

<sup>&</sup>lt;sup>10</sup> Sponsors or applicants may apply for a waiver from the requirement to use specific versions of FDA-supported standards for the submission of study data using the waiver request process described in section II.D of the Study Data Guidance.

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the Agency can process, review, and archive electronic submissions of clinical and nonclinical study data (including those derived from RWD sources) that use the standards specified in the Data Standards Catalog (Catalog). As that guidance explains, the Catalog provides a listing of currently supported and/or required standards, their uses, the date FDA will begin (or has begun) to support a particular standard, the date such support ends (or will end), the date the requirement to use a particular standard will begin (or has begun), the date such requirement ends (or will end), and other pertinent information. FDA is issuing this guidance to provide recommendations to sponsors for complying with section 745A(a) of the FD&C Act using standards specified in the Catalog when submitting study data derived from RWD sources in applicable drug submissions.

# III. APPLYING CURRENTLY SUPPORTED DATA STANDARDS TO STUDY DATA DERIVED FROM REAL-WORLD DATA SOURCES

### A. Challenges in Real-World Data Standardization

FDA recognizes the challenges involved in standardizing study data derived from RWD sources for inclusion in applicable drug submissions. These challenges include but are not limited to: (1) the variety of RWD sources and their inconsistent formats (e.g., EHR, registry); (2) the differences in *source data* captured regionally and globally using different standards, *terminologies*, and *exchange formats* for the representation of the same or similar data elements <sup>13</sup>; (3) a wide range of methods and algorithms used to create datasets intended to aggregate data; and (4) the many aspects of health care data that can affect the overall quality of the data, including business processes and database structure, inconsistent vocabularies and coding systems, and de-identification methodologies used to protect patient data when shared.

### B. Documentation of Processes for Managing Real-World Data

During *data curation* and *data transformation*, adequate processes should be in place to increase confidence in the resultant data. Documentation of these processes may include but are not limited to electronic documentation (i.e., metadata-driven audit trails, quality control procedures, etc.) of data additions, deletions, or alterations from the source data system to the final study analytic data set(s). Sponsors should also document in their applicable drug submission changes to data to conform to the current FDA-supported data standards, and the potential impacts of these changes.

# C. Considerations for Conforming Real-World Data to Currently Supported FDA Study Data Standards

FDA plans to issue further guidance and/or to update the Catalog with standards for study data that are derived from RWD sources. Currently, and absent a waiver, sponsors submitting clinical

<sup>&</sup>lt;sup>11</sup> The Catalog is available at http://www.fda.gov/forindustry/datastandards/studydatastandards/default.htm.

<sup>&</sup>lt;sup>12</sup> For the purposes of this document, "supported" means the receiving Center has established processes and technology to support receiving, processing, reviewing, and archiving files in the specified standard.

<sup>&</sup>lt;sup>13</sup> See data element at https://csrc.nist.gov/glossary/term/data\_element.

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and nonclinical study data (including those derived from RWD sources) in submissions subject to section 745A(a) of the FD&C Act are required to use the formats described in the Study Data Guidance and the supported study data standards listed in the Catalog. Sponsors should refer to the specifications, recommendations, and general considerations provided in the Study Data Technical Conformance Guide<sup>14</sup> when submitting study data in an applicable drug submission to FDA. When seeking to conform RWD to data standards supported by FDA, sponsors should consider the relevant data transformations, conversions, or *mappings* that may be needed to produce study datasets in the required format in an applicable drug submission.

Sponsors should discuss early, with the appropriate FDA review division, any planned submission of study data derived from RWD sources in an applicable drug submission and their approaches for transforming the data to the current FDA-supported data standards. Sponsors should describe these approaches, including in the protocol, data management plan, and/or final study reports.

FDA recognizes that a range of approaches may be used to apply currently supported data standards (e.g., Clinical Data Interchange Standards Consortium's (CDISC's) Study Data Tabulation Model (SDTM)) to RWD sources such as EHR or claims data.

With adequate documentation of the conformance methods used and their rationale, study data derived from RWD can be transformed to SDTM datasets and submitted to FDA in an applicable drug submission.

# D. Considerations for Mapping Real-World Data to Study Data Submission Standards

FDA is aware that, for nearly every *data domain*, there is wide divergence in the terminologies used and their precise meaning between RWD sources and FDA-supported data standards. Examples range from the meaning and specific terms used for race/ethnicity, terminology systems for medications, and interpretation of health care records for vital measurements. Even for seemingly identically recorded variables (e.g., male/female), there can be differences in the way these variables are defined between RWD sources and FDA-supported data standards. For example, sex as a variable may be codified in CDISC's terminology as a concept based on physical characteristics, whereas EHRs may use gender identity. In such cases, sponsors should document the potential impact of mapping the sex variable or other variables to CDISC's terminology on the study findings.

Documentation of the sponsor's rationale for choosing particular CDISC data elements for RWD and documentation of the differences between the two is critical. The sponsor should provide a description of the general approach and anticipated impact of data mapping as a part of or in an appendix to the *Study Data Reviewer's Guide* to highlight the domains involved. Furthermore, the sponsor should include a data dictionary that documents the definition of every data element used and all relevant information about the element, such as its relationships to other data, origin, usage, and format. The technical details, best not included in the Study Data Reviewer's Guide,

<sup>&</sup>lt;sup>14</sup> The *Study Data Technical Conformance Guide* is available at <a href="https://www.fda.gov/industry/fda-resources-data-standards/study-data-standards-resources">https://www.fda.gov/industry/fda-resources-data-standards/study-data-standards-resources</a>.

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can be referenced by guiding the reviewers to the detailed mappings in the **Define-XML** file (see the Appendix) and relevant dataset/domains.

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### Ε. **Considerations for Data Transformations**

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**Controlled Terminology:** a finite set of values (e.g., codes, text, numeric) that represent the only

**Data Curation:** application of standards (e.g., Clinical Data Interchange Standards Consortium

(ICD-10-CM)) to source data, for example, the application of codes to adverse events, disease

**Data Domain:** a collection of logically related observations (with a common, specific topic) that

relationship may pertain to the scientific subject matter of the data or to its role in the trial/study.

Example domains include laboratory test results, adverse events, concomitant medications. <sup>16</sup>

(CDISC), Health Level 7, International Classification of Diseases-10 Clinical Modification

are normally collected for all subjects in a clinical investigation. NOTE: The logic of the

staging, the progression of disease, and other medical and clinical concepts.

allowed values for a data item. Generally, controlled terminology standards specify the key

concepts that are represented as definitions, preferred terms, synonyms, codes, and code

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168 Sponsors should document data challenges encountered during transformation to an FDA-169 supported data standard and a justification of their approach to enable the application of an FDA-

170 supported data standard. Mapping of standards and terminologies can be handled using the 171 Define-XML (see the Appendix) and domain data files. Given that describing the rationale and

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**GLOSSARY** 

172 justification for approaches used to reconcile any challenges in the source data are likely to

173 require free-text description, in addition, a narrative should be presented in the Study Data 174 Reviewer's Guide, either in the body or as an appendix, with appropriate directions for reviewers

175 to the Define-XML and dataset/domains for more detail, if needed.

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195 Data Standards: a set of rules about how a particular type of data should be structured, defined, 196 formatted, or exchanged between computer systems. Data standards make submissions

<sup>15</sup> See Glossary at https://www.cdisc.org/standards/glossary.

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197 198 199	predictable, consistent, and have a form that an information technology system or a scientific tool can use.
200 201 202	<i>Data Transformation:</i> includes data extraction, cleansing, and integration (e.g., into a Common Data Model (CDM)).
203 204 205 206 207	<b>Define-XML:</b> transmits metadata that describes any tabular dataset structure. When used with the CDISC content standards, it provides the metadata for human and animal model datasets using the SDTM and/or Standard for Exchange of Nonclinical Data (SEND) standards and analysis datasets using Analysis Data Model (ADaM). <sup>17</sup>
208 209 210 211 212	<i>Electronic Health Record (EHR):</i> an individual patient record contained within the EHR system. A typical individual EHR may include a patient's medical history, diagnoses, treatment plans, immunization dates, allergies, radiology images, pharmacy records, and laboratory and test results.
213 214 215	<b>Exchange Format:</b> a data format for converting from one file or database structure to another. For example, XML is commonly used as a data exchange format.
216 217	<i>Mapping:</i> the process of creating data element linkages between two distinct data models.
217 218 219 220 221 222 223	<i>Medical Claims Data:</i> the compilation of information from medical claims that health care providers submit to insurers to receive payment for treatments and other interventions. Medical claims data use standardized medical codes, such as the World Health Organization's International Classification of Diseases Coding (ICD-CM) diagnosis codes, to identify diagnoses and treatments. <sup>18</sup>
224 225 226 227 228 229	National Drug Code (NDC): a universal product identifier for drugs in the United States that applies a unique 10-digit or 11-digit, 3-segment number (the first segment identifies the labeler; the second segment is the product code that identifies the specific strength, dosage form and formulation of a drug; and the third segment identifies package sizes and types) to pharmaceuticals.
230 231 232 233	<b>Non-interventional (observational) study:</b> a type of study in which patients are not assigned to a study arm according to a protocol, but instead receive the drug of interest during routine clinical care.
234 235 236	<b>Registries:</b> organized systems that collect uniform data (clinical and other) to evaluate specified outcomes for a population defined by a particular disease, condition, or exposure, and that serve one or more scientific, clinical, or policy purposes.

<sup>&</sup>lt;sup>17</sup> See Define-XML at <a href="https://www.cdisc.org/standards/data-exchange/define-xml">https://www.cdisc.org/standards/data-exchange/define-xml</a>.

<sup>18</sup> See Framework for FDA's Real-World Evidence Program (December 2018) at <a href="https://www.fda.gov/media/120060/download">https://www.fda.gov/media/120060/download</a>.

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<b>RxNorm:</b> provides normalized names for clinical drugs and links its names to many of the drug
vocabularies commonly used in pharmacy management and drug interaction software, including
those of First Databank, Micromedex, and Gold Standard Drug Database. 19

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**Source Data:** all information in original records and certified copies of original records of clinical findings, observations, or other activities in a clinical study necessary for the reconstruction and evaluation of the study. Source data are contained in source documents (original records or certified copies). <sup>20</sup>

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Study Data Reviewer's Guide: a study data reviewer's guide should describe any special considerations or directions or conformance issues that may facilitate an FDA reviewer's use of the submitted data and may help the reviewer understand the relationships between the study report and the data.

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*Terminologies:* the body of terms used for particular technical application to standardize a medical term for the submission of nonclinical and clinical study data.

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*Traceability:* permits an understanding of the relationships between the analysis results (tables, listings, and figures in the study report), analysis datasets, tabulation datasets, and source data.<sup>21</sup>

<sup>&</sup>lt;sup>19</sup> See RxNorm at <a href="https://www.nlm.nih.gov/research/umls/rxnorm/index.html">https://www.nlm.nih.gov/research/umls/rxnorm/index.html</a>.

<sup>&</sup>lt;sup>20</sup> See FDA guidance for industry *Use of Electronic Health Record Data in Clinical Investigations* (July 2018).

<sup>&</sup>lt;sup>21</sup> See FDA technical specifications document *Study Data Technical Conformance Guide* (June 2021).

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### APPENDIX: EXAMPLES OF MAPPING HEALTH CARE DATA TO CDISC SDTM

Differences in the coding systems used between real-world data (RWD) and traditional clinical trial data can usually be addressed using the Define-XML file, which is included in all standard Study Data Tabulation Model (SDTM) submissions. The Define-XML file, along with the appropriate use of *Decode* or *Alias* data elements, provides a mechanism for communicating the transformation of external coding systems to the appropriate SDTM controlled terminology.

An example of this approach involves race/ethnicity data, where the Food and Drug administration (FDA) anticipates both heterogeneity among electronic health records (EHRs) as well as between EHR and Clinical Data Interchange Standards Consortium (CDISC) terminologies. In the guidance for industry Collection of Race and Ethnicity Data in Clinical Trials (October 2016), FDA recommends that a minimum of five specific categories be used to define race:

(1) American Indian or Alaska Native

(2) Asian (3) Black or African American

(4) Native Hawaiian or Other Pacific Islander

(5) White 

RWD sources, however, may not follow the same system of coding. Given that FDA recommends using the race and ethnicity categorization outlined in the October 2016 guidance mentioned above, a sponsor should map the RWD terminology system to the relevant SDTM terminology. To achieve this objective, the *Decode* or *Alias* elements in Define-XML file can be used to document the conversions to a single nomenclature while ensuring traceability.

Table 1 illustrates how race can be transformed from non-standardized to standardized data using FDA-supported data standards. In Table 1, the *Decode* column shows the original codes present in an EHR system and the *Code* column shows the relevant mapped term in the current FDAsupported controlled terminology:

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# Table 1: Approach to Using Define-XML to Indicate Decision Involved in Transforming Non-Standardized Data (Race Data) to Standardized Data (i.e., SDTM and ADaM)

Illustrative example of an approach to representing cross-mapping of coding systems, in this case for Race data, to CDISC coding in the Define-XML file. This table does not recommend **how** to map coding systems to CDISC terminology, only how to represent the mapping choices made.

Race [RACE, C74457]	
Permitted Value (Code)*	Display Value (Decode)**
AMERICAN INDIAN OR ALASKA NATIVE [C41259]	American Indian or Alaska Native, Native American, Native of Alaska
ASIAN [C41260]	Asian, Chinese
BLACK OR AFRICAN AMERICAN [C16352]	Black or African American, Black
NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER	Native Hawaiian or Other Pacific Islander,
[C41219]	Samoan
OTHER [*]	Other
WHITE [C41261]	White, Mexican

\*Permitted Value (Code): vocabulary that is provided in the study data tabulations and conformant with controlled terminologies.

\*\*Display Value (Decode): vocabulary that was used in the original data set (i.e., EHR value). Code/Decode: Respective CDISC elements.

Differences in *controlled terminology* between RWD systems and FDA submission data standards may make mapping terminology challenging. Furthermore, FDA is aware that in *non-interventional studies*, a sponsor may use data aggregated from multiple RWD systems. Such situations can complicate the use of terminologies further, since different RWD sources, such as EHRs, might use different coding systems for the same concept or might use the same coding system but use different default codes for the same item.

Various approaches can be applied to permit the use of RWD in applicable drug submissions. Examples of potential approaches are: 1) translating the codes to their mapped structured definitions with subsequent mapping to appropriate CDISC controlled terminologies, which provides the most detail but is labor-intensive; or, alternatively 2) mapping all original codes to the least granular analogous codes, and then mapping those to CDISC controlled terminologies, which is less labor-intensive yet necessitates that detail of a more specific categorization will not be represented in the submitted, standardized dataset. It is up to the sponsors to determine the best approach to mediating data transformation, as well as to document and justify their approach accordingly. However, if details that are essential to the consideration of the safety and effectiveness of a drug are absent, the latter approach may not be appropriate. Whatever approach is used, the application of *Decode* to achieve CDISC standard controlled terminology is one mechanism to document the normalization of nomenclature into a format developed by CDISC.

An example where concepts and terminology do not map precisely and directly is the SDTM intervention domain capturing *drugs prescribed*. Domains containing drugs prescribed data may be mapped to a template SDTM intervention domain. (FDA anticipates that an EHR system may use prescription coding from *RxNorm*, *NDC*, or other such systems.) Additionally, and unless a sponsor uses EHR data where the prescription dispensing information is retained or opts to link EHR information with medical claims data, uncertainty will persist regarding the actual prescription (e.g., whether a generic pharmaceutical agent was substituted). In such cases,

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sponsors should apply the *Decode* and/or *Alias* elements within Define-XML to normalize the coding systems (as illustrated in Table 2), where the final dataset (see Table 3) will have prescription dosing information uniformly reflecting the less specific prescription coding system.

The standard modeling would be accompanied by the Define-XML code list as follows:

## Table 2: Approach to Using Define-XML to Indicate Decision Involved in Transforming Non-Standardized Data (Dugs Prescribed) to Standardized Data (i.e., SDTM and ADaM)

Illustrative example of an approach to representing cross-mapping of coding systems, in this case for prescription data, to CDISC coding in the Define-XML file. This table does not recommend **how** to map coding systems to CDISC terminology, only how to represent the mapping choices made.

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Permitted Value (Code)*	Display Value (Decode)**
	FLUoxetine 40 milligram (mg) Oral Capsule, RxCUI = 383919, 0093-7198-56, FLUoxetine 40 mg Oral Capsule Generic Permitted
PROzac	PROzac 40 mg Oral Capsule, RxCUI = 313989, 0777-3107-30

\*Permitted Value (Code): vocabulary that is provided in the study data tabulation.

\*\*Display Value (Decode): vocabulary that was used in the original data set (i.e., EHR value). Code/Decode: Respective CDISC elements.

The standard modeling of prescription data in the domain file would appear as shown below (Table 3):

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### Table 3: Example of the Drugs Prescribed Data in the Respective Domain Upon Mapping

Illustrative example of an approach to representing the values from data, in this case for prescription data, to CDISC format in the relevant data domain file. This table does not recommend **how** to map data to CDISC standards, only how to represent the mapping choices made. The column headers represent CDISC data elements. For more information, see https://www.cdisc.org/standards/foundational/sdtm.

Original Value (from original dataset)	TRT	MODIFY	DECOD	DOSE	DOSU	ROUTE	DOSFRM
FLUoxetine 40 mg Oral Capsule	FLUoxetine	to assist in coding to standard terminology	Generic Drug Name in WHO Drug (either from original data system or assigned by medical coding vendor for sponsor)		mg	ORAL	CAPSULE
FLUoxetine 40 mg Oral Capsule Generic Permitted	FLUoxetine	,	(same as above)	40	mg	ORAL	CAPSULE
RxCUI = 383919	FLUoxetine	(same as above)	(same as above)				
0093-7198- 56	FLUoxetine	V	(same as above)				
PROzac 40 mg Oral Capsule	PROzac	(same as above)	(same as above)	40	mg	ORAL	CAPSULE
RxCUI = 313989	PROzac		(same as above)				
0777-3107- 30	PROzac	(same as above)	(same as above)				

Although only a few examples are presented here, sponsors should use elements of the Define-XML file and relevant domain data files to communicate how the health care terminology of all *data domains* were normalized to CDISC standard terminology. As in the examples shown above, the technical details of all transformations are best placed in the data files.