

Anatomy of a Failure:

A Quantitative & Strategic Analysis of 89 FDA Rejections for Unapproved Products

Identifying the Data-Driven Drivers of Ultimate Product Failure



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A Quantitative & Strategic Analysis of 89 FDA Rejections for Unapproved Products

Chapter 1: Executive Summary: The Insurmountable Hurdles

Our previous analysis of 202 CRLs for products that were eventually approved revealed that the primary obstacles were failures of operational execution. This new analysis of 89 CRLs for products that were ultimately not approved tells a different, more terminal story.

The primary obstacles for this cohort were not just operational, but fundamental flaws in the asset, the data, or the regulatory pathway. While these applications were also plagued by pervasive manufacturing deficiencies, their fate was sealed by insurmountable clinical and non-clinical failures.

This analysis of 89 CRLs for unapproved products reveals four principal domains of failure:

1. Pervasive Manufacturing & Product Quality Deficiencies (85% of Applications): Even more common than in the "approved" cohort, an overwhelming 85% of applications had at least one major CMC deficiency. This was not a secondary issue; it was a compounding failure. The most common drivers were unresolved facility inspection findings (54%) and fundamental issues with product quality, characterization, or stability (65%).

2. Fundamental Clinical & Data Failures (41% of Applications): This is the key differentiator for this cohort. The clinical deficiencies were not minor but existential. They were driven by failed primary endpoints (19%), fundamentally unfavorable benefit-risk assessments (5%), and, most critically, a catastrophic loss of agency trust due to significant data integrity and reliability failures (8%).

3. Non-Clinical & Bridging Failures (20% of Applications): A significant portion of these applications failed before they could even be properly evaluated, due to an inability to establish a scientific bridge to a listed drug (8% of applications, impacting 505(b)(2) and biosimilar pathways) or unresolved nonclinical toxicity signals (12%).

4. Device & User Interface Failures (8% of Applications): While less common in this cohort, failures in Human Factors (HF) validation (4%) and device performance (4%) still served as contributing factors to rejection, often compounding other, more fundamental flaws.

The clear takeaway is that while operational issues (CMC, Device) are a prerequisite to be fixed, fundamental flaws in a drug's efficacy, safety, data integrity, or regulatory pathway are insurmountable.



Chapter 2: The Quantitative Landscape of Submission Deficiencies

A systematic review of the 89 CRLs reveals the quantifiable patterns of failure. A single CRL often contains multiple deficiencies across categories, compounding the reasons for rejection.

I. Chemistry, Manufacturing, and Controls (CMC) Deficiencies (Incidence: 85%)

Specific CMC Deficiency	Incidence	Illustrative Quote from a CRL
1. Unresolved Facility Inspection Issues	54%	“Following pre-license inspection ... FDA conveyed deficiencies to the representative of the facility... The assessment of application approvability and the resolution of inspection deficiencies would be evaluated upon receipt of the complete response and may include re-inspection of the facility.”
2. Inadequate Stability Data	30%	“The application does not contain sufficient data to support the proposed 24-month drug product shelf-life... Based on the submitted data, a 12-month shelf-life may be supported.”
3. Unvalidated/Inadequate Analytical Methods	28%	“...you do not have acceptance criteria proposed for most tests. This does not provide adequate quality control...”
4. Impurity/Degradant Qualification	25%	“To address these deficiencies, you must conduct adequate studies to qualify the multiple drug substance and drug product impurities identified above.”
5. Inadequate Process Control Strategy	22%	“[Multiple deficiencies cited related to] drug substance manufacturing process descriptions... validation of the manufacturing process, and justification of critical process parameters...”
6. Container Closure & Leachables Issues	15%	“[Deficiencies cited related to] extractables and leachables studies... [and] data to support the compatibility of the drug product with the container closure system...”
7. Product Quality (Microbiology)	8%	“[Deficiencies cited related to] In-process controls for the drug product manufacturing process (bioburden)...”

II. Clinical & Efficacy Deficiencies (Incidence: 41%)

Specific Clinical Deficiency	Incidence	Illustrative Quote from a CRL
1. Failed Primary Endpoint / No Substantial Evidence	19%	"...you have not established substantial evidence of effectiveness... The phase 3 study... was a negative study..."
2. Data Integrity & Reliability Failures (OSIS)	8%	"Based on the OSIS inspectional findings... there are significant data integrity and data quality issues... the study data are not reliable..."
3. Unfavorable Benefit-Risk Assessment (Safety)	5%	"...we have concluded that the data are not sufficient to support a favorable benefit-risk assessment... we conclude the risk of DKA is unacceptably high given the comparatively modest benefits..."
4. Flawed Study Design or Analysis	7%	"There are multiple design issues ... which render the data inadequate to establish the durability of effect... the data from the [long-term] study do not provide evidence of a durable treatment effect."
5. Deferred/Failed BIMO Inspections	7%	"FDA inspection of one clinical investigator site... identified several concerning observations, including numerous unreported adverse events... These inspection findings raise significant concerns regarding the reliability of the data..."
6. Insufficient Long-Term Safety Data	4%	"The submitted safety database included an inadequate number of subjects exposed... at the proposed dose... for at least 12 months."

III. Non-Clinical & Bridging Deficiencies (Incidence: 20%)

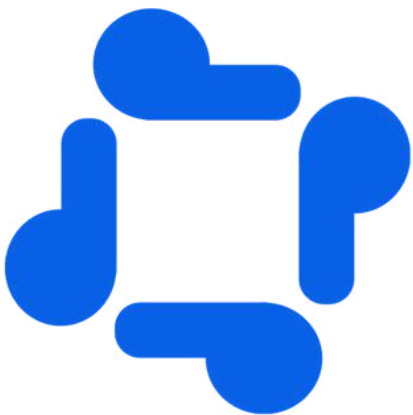
Specific Non-Clinical/Bridge Deficiency	Incidence	Illustrative Quote from a CRL
1. Unresolved Non-Clinical Toxicity	12%	"[Multiple deficiencies cited related to] inadequate assessment of the neurotoxicity potential... [and] the need for 2-year carcinogenicity studies..."
2. 505(b)(2) / Biosimilar Bridge Failure	8%	"...a nonclinical bridge between your proposed drug product and the LDs has not been established due to differences in safety/tolerability... You will need to conduct a comparative BA/BE study..."



IV. Device & Human Factors (HF) Deficiencies (Incidence: 8%)

Specific Device/HF Deficiency	Incidence	Illustrative Quote from a CRL
1. Human Factors (HF) Validation Failure	4%	“Based on the evaluation of the human factors (HF) validation study results, the user interface does not support the safe and effective use... results ... demonstrated that several participants used the product inappropriately...”
2. Inadequate Device Performance/Reliability	4%	“[Deficiencies cited related to] ... differences between the tested versions of your device and the intended commercial version...”
3. Lack of Data on Final To-Be-Marketed Device	4%	“[You] indicate that the final finished version of your device is not considered in your verification, reliability, stability and shipping verification tests.”

Most rejections weren’t bad luck - they were baked in. When 85% of failed applications collapse under CMC gaps and flawed data, it’s clear: you can’t fix a broken foundation at submission.



Chapter 3: Deep Dive Analysis: Primary Failure Modes

Finding 3.1: CMC - The Compounding Failure

The 85% incidence rate for CMC deficiencies is staggering. It confirms that operational readiness is a universal challenge. Unlike the "approved" cohort, these CMC failures were not the sole reason for rejection but a compounding factor. The application was often clinically flawed and non-manufacturable from a compliance standpoint.

- **Facility Failures Remain Epidemic (54%):** The inability to resolve Form 483 observations at manufacturing facilities remains a primary execution failure. This dataset is replete with sponsors (e.g., Accord, Regeneron, Celltrion) who received a CRL for facility inspections, resubmitted, and received a second or third CRL for new facility inspection failures. This demonstrates a systemic breakdown in quality oversight and an inability to perform durable corrective and preventive actions (CAPAs).
- **Product Quality & Characterization (65%):** A majority of applications were rejected for fundamental flaws in the product itself. These included unvalidated analytical methods (Gan & Lee), insufficiently justified or incomplete stability data (Mapi), unacceptable impurity profiles (PTC Therapeutics), and device/container compatibility issues (multiple). These are not simple execution errors but deep gaps in product and process understanding, suggesting development was rushed to submission before the product was fully understood.

Finding 3.2: Clinical - The Insurmountable Hurdles

This is the core differentiator of the unapproved cohort. The clinical failures were not procedural missteps but fundamental invalidations of the asset or the data.

- **Fundamental Efficacy Failure (19%):** A large portion of these products simply did not work. The CRLs for Minerva (NDA 217002), Stealth (NDA 215244), and Aldeyra (NDA 216442) are clear: the pivotal trials failed to meet their primary endpoints. The FDA stated Minerva's Phase 3 study was "negative" and Aldeyra's "Study 030 primary efficacy endpoint analysis [was] problematic." This is a rejection of the drug's core premise and is not fixable without entirely new, positive pivotal trials.
- **Catastrophic Data Integrity Flaws (8%):** This is the most fatal, unrecoverable deficiency. The CRLs for Applied Therapeutics (NDA 219195), Lykos (NDA 215455), and Olympus (NDA 218828) cite serious data-integrity or reliability deficiencies that rendered portions of the clinical datasets unreliable. The CRL for Applied Therapeutics referenced serious data-quality concerns, and Olympus' CRL cited numerous unreported adverse events, leading the FDA to conclude that the study data could not be relied upon. An application cannot be approved if the agency cannot trust the data.
- **Unacceptable Safety Profile (5%):** In these cases, the drug may have shown efficacy, but the risk was deemed too high for the benefit. The CRL for Lexicon (NDA 210934) is a prime example, where the unacceptably high risk of diabetic ketoacidosis (DKA) outweighed the modest benefits in glycemic control. Similarly, Novo Nordisk (BLA 761326) received a CRL citing an unfavorable benefit-risk balance due to a higher incidence of clinically meaningful hypoglycemia. This is a fundamental flaw with the asset itself.



Finding 3.3: The Pathway Gaps (Bridging, Non-Clinical & Device)

This cluster of failures demonstrates that even before clinical efficacy is evaluated, the fundamental premise of the application can be rejected.

- **Failed 505(b)(2) & Biosimilar Bridges (8%):** Several 505(b)(2) applications failed because they could not demonstrate an adequate scientific or non-clinical bridge to the listed drug. For example, one CRL (NDA 217382) required a new bioequivalence study and justification of formulation differences before approval. When a bridge cannot be established, the regulatory pathway collapses, forcing the sponsor into a full standalone program.
- **Unresolved Non-Clinical Toxicity (12%):** A number of applications were stopped by unresolved toxicity signals identified in animal studies. Fresenius Kabi (NDA 214610) and MedRz (NDA 215029) both received CRLs citing multiple, significant nonclinical deficiencies, including the need for new carcinogenicity studies or inadequate reproductive toxicology data. The FDA was unwilling to approve human exposure without this foundational safety data.
- **Device Failures as a Compounding Factor (8%):** While the incidence was low, the device failures in this cohort were critical. Defender (NDA 214315) failed its human-factors validation, with the FDA noting that participants misused the device in ways that could lead to overdosing. Orexo (NDA 217433) failed because its human-factors validation identified critical task errors — for example, plunger depression failures that prevented dose delivery - requiring re-design and re-validation of the device. These issues, while technically "fixable," often compound other clinical or CMC flaws, making the path to resubmission too complex.

Most failures weren't caused by one bad trial or inspection - they were systemic. When manufacturing cracks, data collapses, and regulatory bridges break, the FDA doesn't just delay approval - it ends the program.



Chapter 4: Modality-Specific Failure Patterns

Biologics & Biosimilars (Approx. 40% of Analyzed CRLs)

For this cohort, the failures were split between systemic quality failures and fundamental asset-level flaws.

- **Top Failure Reason:** Systemic Facility Failures. The CRLs for Accord BioPharma (BLA 761147, 761027) and Celltrion (BLA 761377) are prime examples. These sponsors were cited for facility inspection failures, resubmitted, and received a second CRL for the exact same reason (unresolved facility deficiencies), indicating a systemic and terminal breakdown in the sponsor's quality oversight of their CMOs.
- **Key Challenge:** Unfavorable Benefit-Risk. The most notable failure in this group was Novo Nordisk (BLA 761326) for its weekly basal insulin. The product worked, but the FDA determined that the benefit-risk balance was unfavorable due to a higher incidence of clinically meaningful hypoglycemia - a fatal flaw given available therapies, especially given available therapies. This is an asset-level failure, not an execution failure.
- **Strategic Implication:** For biologics, particularly biosimilars, demonstrating consistent and systemic quality compliance is paramount. For novel biologics, sponsors must prove not only efficacy but a superior or differentiated benefit-risk profile against the standard of care.



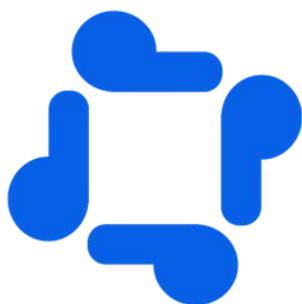
In biologics, manufacturing precision is essential - but it's not enough. When systemic quality failures meet an unfavorable benefit-risk profile, the FDA draws a hard line. A biologic can be perfectly made, yet still unapprovable if it's not demonstrably safer or better than what already exists.



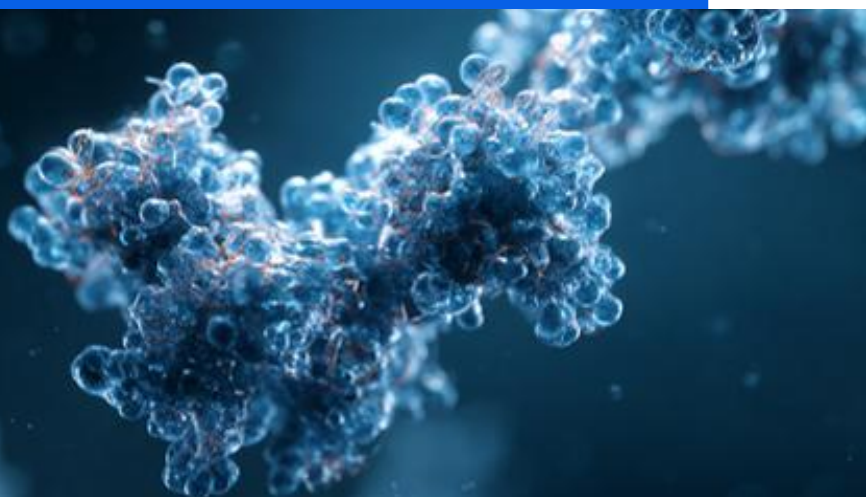
Small Molecules (Approx. 50% of Analyzed CRLs)

This is where the most fundamental and fatal clinical flaws were found. The assets themselves, or the data supporting them, were irrevocably broken.

- **Top Failure Reason:** Failed Primary Efficacy Endpoints. The story of this cohort is defined by high-profile clinical failures. Minerva (NDA 217002) for negative symptoms of schizophrenia, Aldeyra (NDA 216442) for dry eye disease, and Stealth (NDA 215244) for Barth syndrome all received CRLs because their pivotal trials were negative. The FDA's message was simple: the drug did not provide substantial evidence of effectiveness.
- **Key Challenge:** Catastrophic Data Integrity. The most severe failures were a total loss of agency trust. Applied Therapeutics (NDA 219195) and Lykos (NDA 215455) both received CRLs citing serious data-integrity or reliability deficiencies that rendered the clinical datasets unreliable. The FDA indicated that the data could not be relied upon, making the entire submission unreviewable.
- **Strategic Implication:** For small molecule developers, the risk has shifted from manufacturability (a largely solved problem) to clinical validation. The data shows that "close" or "equivocal" clinical results will be rejected. Furthermore, the rise of data integrity CRLs indicates that the FDA is intensely scrutinizing how data is collected, and any sign of unreliability (unreported AEs, protocol deviations) can be fatal.



For small molecules, the science wasn't the problem - the proof was. Most failed because the data didn't hold up, the efficacy wasn't real, or the FDA stopped trusting the results altogether. When credibility breaks, there's no path back to approval.

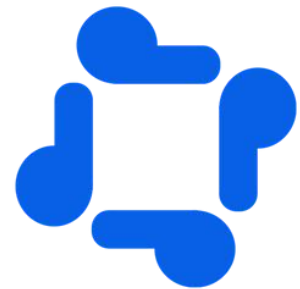


Combination Products & Devices (Approx. 10% of Analyzed CRLs)

The incidence of device-related CRLs was surprisingly low in this "unapproved" cohort (8%) compared to the "approved" cohort (18% in the first report).

- **Top Failure Reason:** Human Factors (HF) Validation. The primary failures were traditional HF issues. Defender (NDA 214315) failed human-factors validation, with participants misusing the device in ways that could lead to overdosing. Orexo (NDA 217433) failed because its human-factors validation identified critical task errors - for example, plunger depression failures that prevented dose delivery - necessitating device redesign and re-validation.
 - **The "Fixable vs. Fatal" Hypothesis:** This low incidence rate strongly supports the conclusion from our first report: Device and Human Factors deficiencies are generally fixable. Sponsors with a sound underlying asset and clean data (like those in the 202-CRL "approved" report) were able to resolve their HF issues and gain approval. The sponsors in this 'unapproved' cohort (such as Defender and Orexo) had their device failures compounded by other, more fatal flaws (e.g., product quality, 505(b)(2) bridge failure), making the totality of deficiencies insurmountable.
 - **Strategic Implication:** A device/HF failure is a serious, costly, and time-consuming execution error. However, it is not typically a fatal flaw if the underlying asset and clinical data are sound. The true risk is when a "fixable" HF/device problem is layered on top of a "fatal" clinical or bridging problem.
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Device failures rarely kill a program on their own - but they can finish off one already on life support. Human Factors issues are fixable; what's not fixable is when they stack on top of bad data, weak efficacy, or a broken regulatory bridge.





Chapter 5: ProGen Search Recommendations - A Framework for Identifying Fatal Flaws

The lessons from this cohort of 89 unapproved products are different from those in our first report. The challenge is not just "de-risking execution" but "identifying fatal flaws early."

Decision-makers in regulatory, clinical, and CMC roles must shift their mindset from "How do we get this approved?" to "What could make this unapprovable?"

This chapter provides role-specific checklists focused on identifying these insurmountable hurdles before they consume hundreds of millions of dollars and lead to a terminal CRL.

Checklist for the Chief Medical Officer (Clinical)

Focus Area: Protecting against fatal flaws in data integrity and clinical strategy.

[] **Mandate a Proactive Clinical Data Reliability Audit Program:** Do not wait for the FDA. Are you conducting 'for-cause' style, unannounced internal audits of your highest-enrolling and most critical clinical sites? The CRLs for Applied Therapeutics (219195), Lykos (215455), and Olympus (218828) show that data-integrity failures are now a major trigger for rejection..

[] **Pressure-Test the Benefit-Risk Argument:** Assume your safety signal is real. Convene a "Red Team" of external experts to argue against your drug's approval. Can your clinical benefit (the "modest" benefit seen by Lexicon) truly outweigh the "unacceptably high" risk (DKA)? If the argument is weak, the asset is flawed.

[] **Validate the Clinical Endpoint's Meaningfulness:** Do not conflate statistical significance with clinical relevance. The Aldeyra CRL (NDA 216442) shows that if the FDA finds your analysis "problematic" or the results hard to interpret, a p-value is worthless. Have you secured formal, written FDA agreement on your primary endpoint and the statistical analysis plan at an End-of-Phase 2 meeting?

[] **Audit Your AE Reporting and Coding:** The Lykos (NDA 215455) CRL cited a failure to collect AEs related to abuse potential, and Olympus (NDA 218828) cited numerous unreported AEs. Is your clinical team and CRO trained to capture all events, not just "undesirable" ones? Are you auditing your CRO's data entry and coding?

The New Fatal Flaw: The FDA's trust in your data is no longer a given. A single bad clinical site can invalidate your entire program. The CMO's new job is to find that site before the FDA does.

The goal is no longer just to win approval - it's to prove your program deserves to try. In today's FDA climate, one weak endpoint, one unsafe signal, or one unreliable dataset can end everything. The smartest teams hunt for fatal flaws before the agency does.



Checklist for the VP of Regulatory Affairs

Focus Area: Identifying and mitigating fatal flaws in the regulatory pathway and agency communication.

[] **Solidify the 505(b)(2) / Biosimilar Bridge:** Is your regulatory pathway built on solid rock or sand? Several 505(b)(2) applications (e.g., NDA 217382 and others in the dataset) show that a 'failed bridge' is a terminal failure. Your BA/BE or non-clinical bridging studies are now as pivotal as Phase 3. What is your contingency plan if the bridge fails? (Hint: "Conduct a full 505(b)(1) program" is often not a real option).

[] **Confirm Agency Alignment in Writing:** Did the FDA really agree to your trial design, or did they just "not disagree"? A lack of explicit, written agreement from the FDA on your primary endpoint and SAP (Statistical Analysis Plan) is a red flag. The Aldeyra CRL (NDA 216442) is a direct result of the agency finding the analysis "problematic" after the fact.

[] **Scrutinize Non-Clinical Signals:** Do not assume you can "resolve non-clinical toxicity in post-marketing." The CRLs for Fresenius Kabi and MedRx show that the agency will halt an application for unresolved toxicology. Has every non-clinical signal been fully characterized and explained before filing?

[] **Prepare for the Data Integrity Audit:** Your new regulatory assumption must be that the FDA will audit your clinical data and find problems. Are you working with the CMO to proactively identify data reliability issues? A regulatory strategy is useless if the data it relies on is deemed unreliable by the agency.

The New Fatal Flaw: A 505(b)(2) or biosimilar pathway is not a shortcut; it's a different, high-risk path. A failed bridge is as fatal as a failed Phase 3 endpoint.

Regulatory strategy isn't just about speed - it's about survival. A shaky bridge, vague FDA alignment, or unresolved toxicity can end a program as quickly as a failed trial. The best regulatory leaders plan for every weak point before the FDA exposes it.





Checklist for the Head of CMC/Technical Operations

Focus Area: Moving from "batch execution" to "systemic compliance" to survive repeat inspections.

[] **Fix the System, Not Just the 483 Observation:** Your CMO (e.g., Accord, Celltrion) received a CRL, you resubmitted, and you got a second CRL for facility issues. Why? You didn't fix the underlying Quality System. A "whack-a-mole" approach to 483s is a fatal strategy. You must demand your CMOs implement durable, systemic CAPAs and you must verify them.

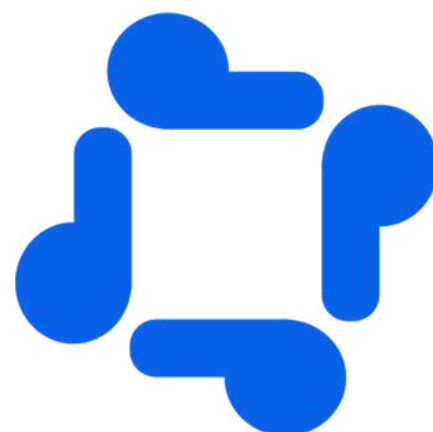
[] **Treat Your Analytical Methods as a Product:** The Gan & Lee (BLA 761357) CRL cited a lack of acceptance criteria and inadequate controls. Your analytical methods are the only way you and the FDA can know your product is safe and consistent. Are your methods fully validated and stability-indicating before you start registration stability?

[] **Finalize the Commercial Product Before the Final Bridge:** The Orexo (217433) CRL was issued after human-factors validation identified critical task errors with the device design, requiring re-validation of the final commercial configuration. This is a classic, unforced error. The final, to-be-marketed product—including all device components and packaging—must be the one used in your final HF and bridging studies.

[] **Master Your Impurity Profile:** The PTC Therapeutics (NDA 220049) CRL demanded qualification of multiple impurities. This is not a "day 120" review question; it's a "do not file" issue. Do you have a full, qualified impurity and degradant profile before submission?

The New Fatal Flaw: For CMC, the fatal flaw is systemic failure. Receiving a second CRL for facility issues demonstrates to the FDA that the sponsor does not have control over their own supply chain. This destroys trust and can doom the application.

The FDA doesn't reject single batches - it rejects broken systems. When sponsors patch symptoms instead of fixing root causes, trust evaporates. True CMC readiness means proving your entire supply chain can withstand inspection, not just your product.





Checklist for the Head of Quality / GMP Compliance

Focus Area: Expanding the Quality Management System (QMS) to include GCP/BIMO data integrity.

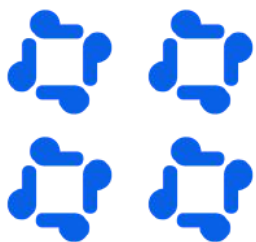
[] **Integrate Your QMS:** GMP + GCP = GxP: Your QMS cannot stop at the factory door. The data integrity failures at clinical sites (Applied, Lykos, Olympus) are the new "sterility failure." Your quality unit must have oversight and audit authority over your CROs and clinical sites, just as you do over your CMOs.

[] **Audit Your CROs for Data Integrity:** Are you auditing your CRO's data management plan? Are you checking their eTMFs for evidence of unreported AEs or protocol deviations? The FDA will. The Head of Quality is now responsible for the integrity of the .sas file, not just the .pdf batch record.

[] **Mandate Systemic, Verifiable CAPAs from CMOs:** When your CMO (e.g., Accord) fails an inspection, your job is not to just receive their CAPA plan. Your job is to audit the effectiveness of that plan before telling Regulatory to resubmit. This dataset proves that "paper CAPAs" lead directly to subsequent CRLs.

[] **Become the "Office of Data Integrity":** The new function of the Quality unit is to ensure data reliability across the entire submission, from non-clinical reports to CMC stability tables to clinical trial datasets. You must have the authority to stop a submission if the data from any GxP source cannot be verified.

The New Fatal Flaw: A quality system that only focuses on GMP is obsolete. The fatal CRLs in this dataset prove that a lack of clinical data integrity (GCP) is just as, if not more, fatal than a GMP failure.



Quality no longer ends at the cleanroom door. The FDA now treats data integrity lapses like sterility failures - and one corrupted dataset can sink an entire submission. The modern Head of Quality must own every piece of GxP integrity, from batch records to clinical code.

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