

Revision History

Date	Version	Summary of Changes
2021-06	1.0	Initial Version
2024-06	2.0	Added missing document types to Modules 4 and 5: <ul style="list-style-type: none">• study data reviewer's guide• data reviewer's guide Added new document types for Modules 4 and 5. Updated 3.2.P.2 with subheadings
2024-09	2.1	Updated new document type placement for Module 4 and Module 5 (<i>support date TBD</i>)
2025-02	2.2	Removed <i>TBD</i> from new document types in Modules 4 and 5

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Instructions to Reader

This document provides instructions on how the reader may be presented eCTD content in a viewing or display tool. The location of keywords on headings may be different than the assignment in the XML message.

Legend

The following table describes the notations for the keywords allowed for the heading, if applicable:

Keyword Requirement	Notation	Description
Required	(R)	If the heading is used, the keyword(s) associated will need to be provided. Note – the keywords inherit the keywords in any higher-level heading.
Optional	(O)	If the heading is submitted, the keyword(s) associated may be provided.

Module 1 Administrative information

- 1.1 Forms [Form Type (R)]
- 1.2 Cover letters
- 1.3 Administrative information
 - 1.3.1 Contact/sponsor/applicant information
 - 1.3.1.1 Change of address or corporate name
 - 1.3.1.2 Change in contact/agent
 - 1.3.1.3 Change in sponsor
 - 1.3.1.4 Transfer of obligation
 - 1.3.1.5 Change in ownership of an application or reissuance of license
 - 1.3.2 Field copy certification
 - 1.3.3 Debarment certification
 - 1.3.4 Financial certification and disclosure
 - 1.3.5 Patent and exclusivity
 - 1.3.5.1 Patent information
 - 1.3.5.2 Patent certification
 - 1.3.5.3 Exclusivity claim
 - 1.3.6 Tropical disease priority review voucher
- 1.4 References
 - 1.4.1 Letter of authorization
 - 1.4.2 Statement of right of reference
 - 1.4.3 List of authorized persons to incorporate by reference
 - 1.4.4 Cross-reference to previously submitted information
- 1.5 Application status
 - 1.5.1 Withdrawal of an IND
 - 1.5.2 Inactivation request
 - 1.5.3 Reactivation request
 - 1.5.4 Reinstatement request
 - 1.5.5 Withdrawal of an unapproved BLA, NDA, ANDA, or Supplement
 - 1.5.6 Withdrawal of listed drug
 - 1.5.7 Withdrawal of approval of an application or revocation of license
- 1.6 Meetings
 - 1.6.1 Meeting request
 - 1.6.2 Meeting background materials
 - 1.6.3 Correspondence regarding meetings
- 1.7 Fast Track
 - 1.7.1 Fast track designation request
 - 1.7.2 Fast track designation withdrawal request
 - 1.7.3 Rolling review request
 - 1.7.4 Correspondence regarding fast track/rolling review
- 1.8 Special protocol assessment request
 - 1.8.1 Clinical study
 - 1.8.2 Carcinogenicity study

- 1.8.3 Stability study
- 1.8.4 Animal efficacy study for approval under the animal rule
- 1.9 Pediatric administrative information
 - 1.9.1 Request for waiver of pediatric studies
 - 1.9.2 Request for deferral of pediatric studies
 - 1.9.3 Request for pediatric exclusivity determination
 - 1.9.4 Proposed pediatric study request and amendments
 - 1.9.6 Other correspondence regarding pediatric exclusivity or study plans
- 1.10 Dispute resolution
 - 1.10.1 Request for dispute resolution
 - 1.10.2 Correspondence related to dispute resolution
- 1.11 Information amendment: Information not covered under modules 2 to 5
 - 1.11.1 Quality information amendment
 - 1.11.2 Nonclinical information amendment
 - 1.11.3 Clinical information amendment
 - 1.11.4 Multiple module information amendment
- 1.12 Other correspondence
 - 1.12.1 Pre IND correspondence
 - 1.12.2 Request to charge for clinical trial
 - 1.12.3 Request to charge for expanded access
 - 1.12.4 Request for comments and advice
 - 1.12.5 Request for a waiver
 - 1.12.6 Exception from informed consent for emergency research
 - 1.12.7 Public disclosure statement for exception from informed consent for emergency research
 - 1.12.8 Correspondence regarding exception from informed consent for emergency research
 - 1.12.9 Notification of discontinuation of clinical trial
 - 1.12.10 Generic drug enforcement act statement
 - 1.12.11 ANDA basis for submission statement
 - 1.12.12 Comparison of generic drug and reference listed drug
 - 1.12.13 Request for waiver for in vivo studies
 - 1.12.14 Environmental analysis
 - 1.12.15 Request for waiver of in vivo bioavailability studies
 - 1.12.16 Field alert reports
 - 1.12.17 Orphan drug designation
 - 1.12.18 Regenerative medicine advanced therapy (RMAT) designation
- 1.13 Annual report
 - 1.13.1 Summary for nonclinical studies
 - 1.13.2 Summary of clinical pharmacology information
 - 1.13.3 Summary of safety information
 - 1.13.4 Summary of labeling changes
 - 1.13.5 Summary of manufacturing changes

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- 1.13.6 Summary of microbiological changes
- 1.13.7 Summary of other significant new information
- 1.13.8 Individual study information
- 1.13.9 General investigational plan
- 1.13.10 Foreign marketing
- 1.13.11 Distribution data
- 1.13.12 Status of postmarketing study commitments and requirements
- 1.13.13 Status of other postmarketing studies and requirements
- 1.13.14 Log of outstanding regulatory business
- 1.13.15 Development safety update report (DSUR)
- 1.14 Labeling
 - 1.14.1 Draft labeling
 - 1.14.1.1 Draft carton and container labels
 - 1.14.1.2 Annotated draft labeling text
 - 1.14.1.3 Draft labeling text
 - 1.14.1.4 Label comprehension studies
 - 1.14.1.5 Labeling history
 - 1.14.2 Final labeling
 - 1.14.2.1 Final carton or container labels
 - 1.14.2.2 Final package insert (package inserts, patient information, medication guides)
 - 1.14.2.3 Final labeling text
 - 1.14.3 Listed drug labeling
 - 1.14.3.1 Annotated comparison with listed drug
 - 1.14.3.2 Approved labeling text for listed drug
 - 1.14.3.3 Labeling text for reference listed drug
 - 1.14.4 Investigational drug labeling
 - 1.14.4.1 Investigational brochure
 - 1.14.4.2 Investigational drug labeling
 - 1.14.5 Foreign labeling
 - 1.14.6 Product labeling for 2253 submissions
- 1.15 Promotional material [promotional-material-audience-type (R)]
 - 1.15.1 Correspondence relating to promotional materials
 - 1.15.1.1 Request for advisory comments on launch materials
 - 1.15.1.2 Request for advisory comments on non-launch materials
 - 1.15.1.3 Presubmission of launch promotional materials for accelerated approval products
 - 1.15.1.4 Presubmission of non-launch promotional materials for accelerated approval products
 - 1.15.1.5 Pre-dissemination review of television ads
 - 1.15.1.6 Response to untitled letter or warning letter
 - 1.15.1.7 Response to information request
 - 1.15.1.8 Correspondence accompanying materials previously missing or rejected
 - 1.15.1.9 Withdrawal request

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- 1.15.1.10 Submission of annotated references
- 1.15.1.11 General correspondence
- 1.15.2 Materials [promotional-material-doc-type (R)]
 - 1.15.2.1 Material [promotional-material-type (R), material-id (R), issue-date(O)]
 - 1.15.2.1.1 Clean version
 - 1.15.2.1.2 Annotated version
 - 1.15.2.1.3 Annotated labeling version
 - 1.15.2.1.4 Annotated references
- 1.16 Risk management plan
 - 1.16.1 Risk Management (Non-REMS)
 - 1.16.2 Risk Evaluation and Mitigation Strategy (REMS)
 - 1.16.2.1 Final REMS
 - 1.16.2.2 Draft REMS
 - 1.16.2.3 REMS Assessment
 - 1.16.2.4 REMS Assessment Methodology
 - 1.16.2.5 REMS Correspondence
 - 1.16.2.6 REMS Modification History
- 1.17 Postmarketing studies
 - 1.17.1 Correspondence regarding postmarketing commitments
 - 1.17.2 Correspondence regarding postmarketing requirements
- 1.18 Naming
 - 1.18.1 Proprietary names
 - 1.18.2 Biological Proper Name Suffix
- 1.19 Pre-EUA and EUA
- 1.20 General investigational plan for initial IND

Module 2 Summaries

- 2.2 Introduction to summary
- 2.3 Quality overall summary
 - 2.3.I Introduction
 - 2.3.S Drug substance [substance (O), manufacturer (O)]
 - 2.3.P Drug product [product (O), dosage form (O)]
 - 2.3.A Appendices
 - 2.3.A.1 Facilities and equipment [facility (O)]
 - 2.3.A.2 Adventitious agents safety evaluation [component (O)]
 - 2.3.A.3 Excipients
 - 2.3.R Regional information
- 2.4 Nonclinical overview
- 2.5 Clinical overview
- 2.6 Nonclinical written and tabulated summaries
 - 2.6.1 Introduction
 - 2.6.2 Pharmacology written summary
 - 2.6.3 Pharmacology tabulated summary
 - 2.6.4 Pharmacokinetic written summary
 - 2.6.5 Pharmacokinetic tabulated summary
 - 2.6.6 Toxicology written summary

- 2.6.7 Toxicology tabulated summary
- 2.7 Clinical summary
 - 2.7.1 Summary of Biopharmaceutic Studies and Associated Analytical Methods
 - 2.7.2 Summary of Clinical Pharmacology studies
 - 2.7.3 Summary of Clinical Efficacy [indication (R)]
 - 2.7.4 Summary of Clinical Safety
 - 2.7.5 References
 - 2.7.6 Synopses of individual studies

Module 3 Quality

- 3.2 Body of data
 - 3.2.S Drug substance [substance (O), manufacturer (O)]
 - 3.2.S.1 General information
 - 3.2.S.2 Manufacture
 - 3.2.S.2.1 Manufacturer(s)
 - 3.2.S.2.2 Description of Manufacturing Process and Process Controls
 - 3.2.S.2.3 Control of Materials
 - 3.2.S.2.4 Controls of Critical Steps and Intermediates
 - 3.2.S.2.5 Process Validation and/or Evaluation
 - 3.2.S.2.6 Manufacturing Process Development
 - 3.2.S.3 Characterization
 - 3.2.S.3.1 Elucidation of Structure and other Characteristics
 - 3.2.S.3.2 Impurities
 - 3.2.S.4 Control of drug substance
 - 3.2.S.4.1 Specification
 - 3.2.S.4.2 Analytical Procedures
 - 3.2.S.4.3 Validation of Analytical Procedures
 - 3.2.S.4.4 Batch Analyses
 - 3.2.S.4.5 Justification of Specification
 - 3.2.S.5 Reference standards or materials
 - 3.2.S.6 Container closure systems
 - 3.2.S.7 Stability
 - 3.2.S.7.1 Stability Summary and Conclusions
 - 3.2.S.7.2 Post Approval Stability Protocol and Stability Commitment
 - 3.2.S.7.3 Stability Data [descriptor (O)]
 - 3.2.P Drug product [product (O), dosage form (O), manufacturer (O)]
 - 3.2.P.1 Description and composition of the drug product
 - 3.2.P.2 Pharmaceutical development
 - 3.2.P.2.1 Components of the Drug Product
 - 3.2.P.2.2 Drug Product
 - 3.2.P.2.3 Manufacturing Process Development
 - 3.2.P.2.4 Container Closure System
 - 3.2.P.2.5 Microbiological Attributes
 - 3.2.P.2.6 Compatibility
 - 3.2.P.3 Manufacture
 - 3.2.P.3.1 Manufacturer(s)

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- 3.2.P.3.2 Batch Formula
- 3.2.P.3.3 Description of Manufacturing Process and Process Controls
- 3.2.P.3.4 Controls of Critical Steps and Intermediates
- 3.2.P.3.5 Process Validation and/or Evaluation
- 3.2.P.4 Control of excipients [excipient (O)]
 - 3.2.P.4.1 Specification(s)
 - 3.2.P.4.2 Analytical Procedures
 - 3.2.P.4.3 Validation of Analytical Procedures
 - 3.2.P.4.4 Justification of Specifications
 - 3.2.P.4.5 Excipients of Human or Animal Origin
 - 3.2.P.4.6 Novel Excipients
- 3.2.P.5 Control of drug product
 - 3.2.P.5.1 Specification(s)
 - 3.2.P.5.2 Analytical Procedures
 - 3.2.P.5.3 Validation of Analytical Procedures
 - 3.2.P.5.4 Batch Analyses
 - 3.2.P.5.5 Characterization of Impurities
 - 3.2.P.5.6 Justification of Specification(s)
- 3.2.P.6 Reference standards or materials
- 3.2.P.7 Container closure system [container (O)]
- 3.2.P.8 Stability
 - 3.2.P.8.1 Stability Summary and Conclusion
 - 3.2.P.8.2 Postapproval Stability Protocol and Stability Commitment
 - 3.2.P.8.3 Stability Data [descriptor (O)]
- 3.2.A Appendices
 - 3.2.A.1 Facilities and Equipment [facility (O)]
 - 3.2.A.2 Adventitious agents safety evaluation [component (O)]
 - 3.2.A.3 Novel excipients [excipient (O)]
- 3.2.R Regional information
- 3.3 Literature references

Module 4 Nonclinical Study Reports

- 4.2 Study reports
 - 4.2.1 Pharmacology
 - 4.2.1.1 Primary pharmacodynamics
 - [study id_study title (R)]
 - [document type (R)]
 - Legacy clinical study report*
 - Pre clinical study report*
 - Synopsis*
 - Study report body*
 - Protocol or amendment*
 - Signatures investigators*
 - Audit certificates report*
 - Statistical methods interim analysis plan*

- Inter-laboratory standardisation methods quality assurance*
- Publications based on study*
- Publications referenced in report*
- Compliance and drug concentration data*
- Data tabulation
 - Data tabulation dataset legacy*
 - Data tabulation dataset send*
 - Data tabulation data definition*
- Data listing data set
 - Data listing dataset*
 - Data listing data definition*
- Analysis datasets
 - Analysis dataset adam*
 - Analysis dataset legacy*
 - Analysis program*
 - Analysis data definition*
- Safety report*
- Assay validation*
- Biomarkers*
- Data monitoring review committees*
- Device information*
- Diagnostic tests*
- Gene therapy*
- Pharmacodynamics*
- Pharmacogenomics*
- Pharmacokinetics*
- Stem cells*
- Antibody*
- Other data not specified*
- PK/PD relationship*
- Specialty report*
- Foreign clinical studies not under ind*
- PD InVivo Study*
- PD InVitro Study*
- QT InVitro Study*
- Study data reviewer's guide*
- Weight of evidence*
- Animal rule efficacy*
- Animal rule natural history*
- Nonstandard safety study*
- 4.2.1.2 Secondary pharmacodynamics
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
- 4.2.1.3 Safety pharmacology
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available*

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- [study id_study title (R) species (R), route of admin (R), duration(O)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
- 4.2.3.3 Genotoxicity
 - 4.2.3.3.1 In vitro
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.3.2 In vivo
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
- 4.2.3.4 Carcinogenicity
 - 4.2.3.4.1 Long term studies
 - [study id_study title (R), species (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.4.2 Short or medium term studies
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.4.3 Other studies
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
- 4.2.3.5 Reproductive and developmental toxicity
 - 4.2.3.5.1 Fertility and early embryonic development
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.5.2 Embryofetal development
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.5.3 Prenatal and postnatal development, including maternal function
 - [study id_study title (R)]
 - [document type (R)]
 - See Primary pharmacodynamics above for available document types*
 - 4.2.3.5.4 Studies in which the offspring (juvenile animals)

- are dosed and/or further evaluated
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
- 4.2.3.6 Local tolerance
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
- 4.2.3.7 Other toxicity studies
 - 4.2.3.7.1 Antigenicity
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.2 Immunotoxicity
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.3 Mechanistic studies
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.4 Dependence
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.5 Metabolites
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.6 Impurities
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types
 - 4.2.3.7.7 Other
[study id_study title (R)]
[document type (R)]
See Primary pharmacodynamics above for available document types

4.3 Literature references

Module 5 Clinical Study Reports

- 5.2 Tabular listing of all clinical studies
- 5.3 Clinical study reports and related information
 - 5.3.1 Reports of biopharmaceutical studies
 - 5.3.1.1 Bioavailability (BA) Study reports and related information
 - [study id_study title (R)]
 - [document type (R)]
 - Legacy clinical study report*
 - Synopsis (ICH E3, section 2)*
 - Study report body (E3 1, 3 to 15)*
 - Protocol or amendment (E3 16.1.1)*
 - Sample case report form (E3 16.1.2)*
 - IEC-IRB consent form list (E3 16.1.3)*
 - List description investigator site (E3 16.1.4)*
 - Signatures investigators (E3 16.1.5)*
 - List patients with batches (E3 16.1.6)*
 - Randomisation scheme (E3 16.1.7)*
 - Audit certificates report (E3 16.1.8)*
 - Statistical methods interim analysis plan (E3 16.1.9)*
 - Inter-laboratory standardisation methods quality assurance (E3 16.1.10)*
 - Publications based on study (E3 16.1.11)*
 - Publications referenced in report (E3 16.1.12)*
 - Discontinued patients (E3 16.2.1)*
 - Protocol deviations (E3 16.2.2)*
 - Patients excluded from efficacy analysis (E3 16.2.3)*
 - Demographic data (E3 16.2.4)*
 - Compliance and drug concentration data (E3 16.2.5)*
 - Individual efficacy response data (E3 16.2.6)*
 - Adverse event listings (E3 16.2.7)*
 - Listing individual laboratory measurements by patient (E3 16.2.8)*
 - Case report forms (E3 16.3)*
 - Site [site-id (O)]
 - CSR Other*
 - Available on request*
 - Data tabulation
 - Data tabulation dataset legacy Data tabulation dataset sdtm*
 - Data tabulation data definition*
 - Data listing dataset (E3 16.4)
 - Data listing dataset*
 - Data listing data definition*
 - Analysis datasets
 - Analysis dataset adam*
 - Analysis dataset legacy Analysis program*
 - Analysis data definition*
 - Annotated CRF*
 - ECG*
 - Image*

- Subject profiles*
 - Site [site-id (O)]
 - Safety report*
 - Assay validation*
 - Biomarkers*
 - Data monitoring review committees*
 - Device information*
 - Diagnostic tests*
 - Gene therapy*
 - Patient reported outcomes*
 - Pharmacodynamics*
 - Pharmacogenomics*
 - Pharmacokinetics*
 - Quality of life*
 - Hepatic Impairment Study*
 - Renal Impairment Study*
 - Drug-drug Interaction Study*
 - Mass Balance Study*
 - Population PK Report*
 - Population PKPD Report*
 - PBPK Report*
 - PBBM Report*
 - QSP Report*
 - CP General*
 - QT Clinical Study*
 - Stem cells*
 - Abuse liability*
 - Antibody*
 - Healthcare utilization*
 - Other data not specified*
 - PK/PD relationship*
 - Specialty report*
 - Foreign clinical studies not under ind*
 - Study data reviewer's guide*
 - Analysis data reviewer's guide*
- 5.3.1.2 Comparative BA and bioequivalence (BE) Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.1.3 In Vitro - in Vivo correlation Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.1.4 Reports of bioanalytical and analytical methods

- for human studies
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.2 Reports of studies pertinent to pharmacokinetics using human biomaterials
 - 5.3.2.1 Plasma protein binding Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.2.2 Reports of hepatic metabolism and drug interaction studies
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.2.3 Reports of studies using other human biomaterials
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.3 Reports of human pharmacokinetic (PK) studies
 - 5.3.3.1 Healthy subject PK and initial tolerability Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.3.2 Patient PK and initial tolerability Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.3.3 Intrinsic factor PK Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.3.4 Extrinsic factor Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
 - 5.3.3.5 Population PK Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types

- information above for available document types*
- 5.3.4 Reports of human pharmacodynamic (PD) studies
- 5.3.4.1 Healthy subject PD and PK/PD Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.4.2 Patient PD and PK/PD Study reports and related information
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.5 Reports of efficacy and safety studies [indication (R)]
- 5.3.5.1 Study reports and related information of controlled clinical studies pertinent to the claimed indication
[study id_study title (R), type of control (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.5.2 Study reports and related information of uncontrolled clinical studies
[study id_study title (R)]
[document type (R)]
See Bioavailability (BA) Study reports and related information above for available document types
- 5.3.5.3 Reports of analyses of data from more than one study
[study id_study title (R)]
[document type (R)]
Integrated analysis of safety
Iss
Analysis datasets
Analysis dataset adam
Analysis dataset legacy
Analysis program
Analysis data definition
Integrated analysis of efficacy
Ise
Analysis datasets
Analysis dataset adam
Analysis dataset legacy
Analysis program
Analysis data definition
Integrated analysis of clinical pharmacology
iscp
Analysis datasets
Analysis dataset adam
Analysis dataset legacy

Appendix 1 – Mapping Section

IND

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
312.23(a)(1)	Cover sheet (Form FDA-1571)	1	1.1
FDAAA	Certification of compliance: Form FDA 3674	1	1.1
BsUFA	Form FDA 3792: Biosimilar User Fee Cover Sheet	1	1.1
312.31(b)(1)	Statement of the nature and purpose of the information amendment	1	1.2
	Change of address or corporate name NOTE: Includes DMF original address or corporate name or change in DMF address or corporate name	1	1.3.1.1
	Change in contact/agent NOTE: Includes DMF original contact/agent or change in DMF contact/agent	1	1.3.1.2
	Change in ownership	1	1.3.1.3
312.52	Transfer of obligations to a contract research organization	1	1.3.1.4
312.22(d)	General principles of the IND submission		1.4.1
312.23(b)	Written statement of authorization for references (copy of LOA received from DMF holders - submitted by BLA, NDA, or IND applicants)	1	1.4.2
312.23(b) 312.23(a)(3)(ii)	Information previously submitted	1	1.4.4
312.38	Withdrawal of an IND	1	1.5.1
312.45(a)	Request for Inactive status	1	1.5.2
312.45(d)	Request to resume clinical investigation under an inactive IND	1	1.5.3
	Reinstatement request	1	1.5.4
312.47 PDUFA Agreements	Meeting request	1	1.6.1

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
312.47 PDUFA Agreements	Meeting background material	1	1.6.2
312.47 PDUFA Agreements	Correspondence regarding a meeting	1	1.6.3
FDAMA	Fast track designation request	1	1.7.1
FDAMA	Fast track designation withdrawal request	1	1.7.2
FDAMA	Rolling review request	1	1.7.3
FDAMA	Correspondence regarding fast track/rolling review	1	1.7.4
FDAMA	Special protocol assessment request: clinical study	1	1.8.1
PDUFA Agreements	Special protocol assessment request: carcinogenicity study	1	1.8.2
PDUFA Agreements	Special protocol assessment request: stability study	1	1.8.3
	Animal efficacy study for approval under the animal rule	1	1.8.4.
PREA 312.47(b)(1)(iv)	Request for waiver of pediatric studies	1	1.9.1
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BPCA	Proposed pediatric study request and amendments	1	1.9.4
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312.48	Scientific and medical disputes	1	1.10.1
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312.31	Information amendment: Chemistry - information not covered under Module 3	1	1.11.1
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312.31	Information amendment: Clinical - information not covered under Module 5	1	1.11.3
312.31	Multiple Information amendment	1	1.11.4
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312.8(c)	Charging for investigational drugs under an IND	1	1.12.3
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312.41	Comment and advice on an IND	1	1.12.4
312.10	Waivers (including PSUR waiver)	1	1.12.5
312.54	Exception from informed consent for research	1	1.12.6
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312.54	IRB disapproval of exception from informed consent for research	1	1.12.8
312.31(a)(2)	Report regarding the discontinuation of a clinical investigation	1	1.12.9
312.23(a)(7)(iv)(e)	Environmental analysis requirements	1	1.12.14
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312.33(b)(6)	Annual Report: A list of preclinical studies...	1	1.13.1
312.33(b)(5)	Annual Report: A brief description of the drug's actions...	1	1.13.2
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312.33(b)(2)	Annual Report: A summary of all IND safety reports...	1	1.13.3
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312.33(a)	Annual report individual study information	1	1.13.8
312.33(c)	Annual Report: A description of the general investigational plan...	1	1.13.9
312.33(f)	Annual Report: A brief summary of significant foreign marketing developments...	1	1.13.10
312.33(g)	Annual Report: Log of outstanding business...(optional)	1	1.13.14
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312.6	Draft labeling text	1	1.14.1.3
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312.23(a)(5)	Investigator brochure	1	1.14.4.1
312.33(d)	Annual Report: Investigators brochure...	1	1.14.4.1
312.23(a)(7)(iv)(d)	Labeling	1	1.14.4.2
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312.23(a)(8)	Pharmacology and toxicology information	2	2.4
312.23(a)(9)	Previous human experience	2	2.5
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312.23(a)(8)	Pharmacology and toxicology information	2	2.6
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312.23(a)(6)	Protocol	5	5.3
312.32	IND safety reports	5	5.3
312.33(e)	Annual Report: A description of any significant Phase 1 protocol modifications made during the previous years and....	5	5.3
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312.120(b)(1)	Foreign clinical studies not conducted under the IND: Investigator's qualification	5	5.3
312.120(b)(2)	Foreign clinical studies not conducted under the IND: Research facility	5	5.3
312.120(b)(3)	Foreign clinical studies not conducted under the IND: Detailed summary	5	5.3
312.120(a)(1)	Foreign clinical studies not conducted under the IND: Conformance with ethical principles	5	5.3
312.23(a)(11)	Relevant information	1, 2, 3, 4, or 5	As needed
312.23(c)	Material in a foreign language (English translations)	1, 2, 3, 4, or 5	As needed
312.23(a)(10)(iv)	Other information	2, 3, 4, or 5	As needed
312.23(a)(10)(ii)	Radioactive drugs	2, 4, or 5	As needed
312.23(a)(7)(a), (b) and (c)	Chemistry, manufacturing and controls	3	As needed
312.31(a)(1),	Information amendment: Chemistry	3	As needed
312.120(b)(4)	Foreign clinical studies not conducted under the IND: A description of the drug substance and drug product	3	As needed

IND Mapping Section

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312.31	Information amendment: Clinical	5	As needed
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NDA and BLA

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BsUFA	Form FDA 3792: Biosimilar User Fee Cover Sheet	1	1.1
FDAAA	Certification of compliance: Form FDA 3674	1	1.1
314.81(b)(2)	Annual report transmittal: Form FDA 2252	1	1.1
314.81(b)(3)(i) 601.12(f)(4)	Transmittal of advertisements and promotional labeling: Form FDA 2253	1	1.1
601.12 (f)	Transmittal of labels and circulars: Form FDA 2567	1	1.1
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314.50(d)(5)(x)	Transfer of obligations to CRO	1	1.3.1.4
314.72 601.4	Change in ownership of an application	1	1.3.1.5
314.50(d)(1)(v)	Field copy certification	1	1.3.2
GDEA	Debarment certification	1	1.3.3
314.50(k) 601.2(a)	Financial certification and disclosure statement (Form FDA 3454 and Form FDA 3455)	1	1.3.4
314.50(h) 314.53(e)	Patent Information (Form FDA 3542a and Form FDA 3542)	1	1.3.5.1
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314.50(j)	Claimed exclusivity	1	1.3.5.3
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314.420(d)	List of authorized persons to incorporate by reference	1	1.4.3
314.50(g)(1)	Reference to information previously submitted	1	1.4.4
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314.150 601.5	Withdrawal of approval by the FDA	1	1.5.7
314.102	Communications: Meetings	1	1.6.1
314.102	Communications: Meetings	1	1.6.2
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FDAMA	Correspondence regarding fast track/rolling review	1	1.7.4
PREA 314.55(c) 601.27(c)	Request for waiver of pediatric studies	1	1.9.1
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BPCA	Request for pediatric exclusivity determination/Form FDA 3437	1	1.9.3
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CFR Citation/Source		CTD Section	
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314.103(c)	Scientific and medical disputes	1	1.10.2
314.60	Amendment to an unapproved application: Chemistry (information not covered under Module 3)	1	1.11.1
314.60	Amendment to an unapproved application: Toxicology (information not covered under Module 4)	1	1.11.2
314.60	Amendment to an unapproved application: Clinical (information not covered under Module 5)	1	1.11.3
314.60	Multiple information amendment:	1	1.11.4
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314.90 600.90	Waivers (including PSUR waiver)	1	1.12.5
GDEA	Generic drug enforcement act statement	1	1.12.10
314.50(d)(1)(iii) 601.2	Environmental impact	1	1.12.14
320.22 (a)	Request for waiver of in vivo bioavailability studies	1	1.12.15
314.81(b)(1)	Field alert reports	1	1.12.16
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CFR Citation/Source		CTD Section	
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314.81(b)(2)(viii)	Status report of other (chemistry, manufacturing, controls) postmarketing study commitments	1	1.13.13
314.81(b)(2)(ix)	Annual Report: Log of outstanding regulatory business	1	1.13.14
314.50(e)(2)(ii) 601.14	Copies of the labeling and all labeling for the drug product	1	1.14
314.81(b)(2)(iii) 601.14(f)(3)	Annual Report: Labeling	1	1.14
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	Label comprehension studies	1	1.14.1.4
	Labeling history	1	1.14.1.5
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314.50(e)(2)(ii) 601.2; 601.14	Final package insert (package inserts, patient information, medication guides)	1	1.14.2.2
314.50(e)(2)(ii) 601.2; 601.14	Final labeling text	1	1.14.2.3
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314.81(b)(3)(i) 601.12(f)(4)	Product labeling for 2253 submissions (if applicable)	1	1.14.6
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202.1(j)(4)	Request for advisory comments on launch materials	1	1.15.1.1

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314.640 601.94	Presubmission of launch promotional materials for products approved when human efficacy studies are not ethical or feasible	1	1.15.1.3
314.550 601.45	Presubmission of non-launch promotional materials for accelerated approval of products for serious or life-threatening illnesses	1	1.15.1.4
314.640 601.94	Presubmission of non-launch promotional materials for products approved when human efficacy studies are not ethical or feasible	1	1.15.1.4
202.1 Section 503C of the Food, Drug, and Cosmetic Act	Pre-dissemination review of television ads	1	1.15.1.5
202.1	Response to untitled letter or warning letter	1	1.15.1.6
202.1	Response to information request	1	1.15.1.7
202.1 314.81(b)(3)(i) 601.12(f)(4) 202.1(j)(4) 314.550 601.45 314.640 601.94	Correspondence accompanying materials previously missing or rejected	1	1.15.1.8
202.1 314.81(b)(3)(i) 601.12(f)(4) 202.1(j)(4) 314.550 601.45 314.640 601.94	Withdrawal request	1	1.15.1.9

CFR Citation/Source		CTD Section	
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314.81(b)(3)(i) 601.12(f)(4) 202.1(j)(4) 314.550 601.45 314.640 601.94 202.1	Regulations related to promotional materials [use appropriate sections]	1	1.15.2.1
202.1 314.81(b)(3)(i) 601.12(f)(4) 202.1(j)(4) 314.550 601.45 314.640 601.94	Clean version	1	1.15.2.1.1
202.1(j)(4) 314.550 601.45 314.640 601.94 202.1	Annotated version	1	1.15.2.1.2
202.1(j)(4) 314.550 601.45 314.640 601.94 202.1	Annotated labeling version	1	1.15.2.1.3

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
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314.50(c)(2)(ii) to (ix)	Summaries...	2	As needed
314.50(d)(7)	Pediatric use section	2 and 5	As needed
314.50(d)(1)(i) and (ii)	Chemistry, manufacturing and controls	3	As needed
314.50(e)(2)(i)	Analytical methods	3	As needed
314.60	Amendment to an unapproved application: Chemistry	3	As needed
600.81	Distribution reports	3	3.2.R
314.81(b)(2)(iv)	Annual Report: Chemistry, manufacturing, and controls	3	As needed
314.50(d)(2)	Nonclinical pharmacological and toxicology section	4	As needed
314.81(b)(2)(v)	Annual Report: Nonclinical laboratory studies	4	As needed
314.60	Amendment to an unapproved application: Toxicology	4	As needed
314.50(d)(5)(ix)	Statement of compliance with informed consent	5	5.3
314.50(d)(5)(xi)	Audited studies	5	5.3
314.50(d)(6)(i) and (ii)	Description of statistical analysis	5	5.3
314.50(f)(1)	Case report tabulations	5	5.3
314.50(f)(2)	Case report forms	5	5.3
314.50(d)(5)(i) to (iv)	Clinical data section	5	5.3

NDA and BLA Mapping Section

CFR Citation/Source		CTD Section	
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314.50(d)(5)(vii)	Potential for abuse	5	5.3
314.50(d)(5)(v)	An integrated summary of efficacy	5	5.3.5.3
314.50(d)(5)(vi)(a)	An integrated summary of safety	5	5.3.5.3
314.50(d)(5)(vi)(b)	Safety Update	5	5.3.5
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314.70 and 314.71 601.12	Supplements and other changes to approved applications	1, 2, 3, 4, 5	As needed
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314.60	Amendment to an unapproved application: Clinical	5	As needed
314.81(b)(2)(vi)	Annual Report: Clinical data	5	As needed
315.50(b)	Index	N/A	N/A

ANDA

CFR Citation/Source		CTD Section	
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FDAAA	Certification of compliance: Form FDA 3674	1	1.1
	Transmittal of labels and circulars: Form FDA 2567	1	1.1
314.81(b)(2)	Annual report transmittal: Form FDA 2252	1	1.1
314.81(b)(3)(i)	Transmittal of advertisements and promotional labeling: Form FDA 2253	1	1.1
	Cover letters	1	1.2
	Change of address or corporate name NOTE: Includes DMF original address or corporate name or change in DMF address or corporate name	1	1.3.1.1
	Change in contact/agent NOTE: Includes DMF original contact/agent or change in DMF contact/agent	1	1.3.1.2
314.72	Change in ownership of an application	1	1.3.1.5
314.50(d)(1)(v)	Field copy certification	1	1.3.2
Generic Drug Enforcement Act (GDEA)	Debarment certification	1	1.3.3
314.94(13)	Financial certification and disclosure (Form FDA 3454 and Form FDA 3455)	1	1.3.4
314.50(h) 314.53(e)	Patent information (Form FDA 3542a and Form FDA 3542)	1	1.3.5.1
314.94(12)	Patent certification	1	1.3.5.2
314.95	Notice of certification of nonvalidity or noninfringement of patent	1	1.3.5.3
314.420(d)	Incorporating DMF information by reference (authorization from DMF holder)	1	1.4.1

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
314.50(g)(1)	Written statement of authorization for references (copy of LOA received from DMF holders - submitted by BLA, NDA, or IND applicants)	1	1.4.2
314.420(d)	List of authorized persons to incorporate by reference	1	1.4.3
314.94(11)	Reference to information previously submitted	1	1.4.4
314.65	Withdrawal of an unapproved application	1	1.5.5
314.150	Withdrawal of listed drug	1	1.5.6
314.150(c)	Request for withdrawal of approval	1	1.5.7
314.102	Communications: meetings	1	1.6.1
314.102	Communications: meetings	1	1.6.2
314.102	Communications: meetings	1	1.6.3
314.103(c)	Scientific and medical disputes	1	1.10.1
314.103(c)	Scientific and medical disputes	1	1.10.2
314.96	Amendment to an unapproved application: Chemistry (information not fitting under Module 3)	1	1.11.1
314.98	Amendment to an unapproved application: Toxicology (information not covered under Module 4)	1	1.11.2
314.96	Amendment to an unapproved application: Clinical (information not fitting under Module 5)	1	1.11.3
314.96	Multiple information amendment:	1	1.11.4
	Request for comment and advice	1	1.12.4
GDEA	Generic drug enforcement act statement	1	1.12.10
314.94(a)(3)	Basis for abbreviated new drug application submission	1	1.12.11
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314.94(a)(6)	Route of administration, dosage form, and strength	1	1.12.12

CFR Citation/Source		CTD Section	
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320.22 (a)	Request for waiver of in vivo bioavailability studies	1	1.12.15
314.81(b)(i)(ii)	Field alert reports	1	1.12.16
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.1
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.2
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.3
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.4
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.5
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.6
314.81(b)(2)(i)	Annual Report: Summary	1	1.13.7
314.81(b)(2)(ii)	Annual Report: Distribution data	1	1.13.11
314.81(b)(2)(vii)	Annual Report: Status report of clinical and nonclinical toxicology postmarketing study commitments	1	1.13.12
314.81(b)(2)(viii)	Status report of other (chemistry, manufacturing, controls) postmarketing study commitments	1	1.13.13
314.81(b)(2)(ix)	Annual Report: Log of outstanding regulatory business	1	1.13.14
314.94(a)(8)(ii)	Copies of proposed labeling [Use appropriate sections]	1	1.14.1
314.94(a)(8)(ii)	Draft carton and container labels	1	1.14.1.1
314.50(c)(2)(i)	The proposed text of the labeling with annotations	1	1.14.1.2
314.94(a)(8)(ii)	Draft labeling text	1	1.14.1.3
314.94(a)(8)(ii)	Final carton or container labels	1	1.14.2.1
314.94(a)(8)(ii)	Final package insert (package inserts, patient information, medication guides)	1	1.14.2.2
314.94(a)(8)(ii)	Final labeling text	1	1.14.2.3
314.94(a)(8)(iii)	Statement of proposed labeling	1	1.14.3.1
314.94(a)(8)(iv)	Comparison of approved and proposed labeling	1	1.14.3.1
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314.94(a)(8)(i)	Labeling text for reference listed drug	1	1.14.3.3

CFR Citation/Source		CTD Section	
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202.1 202.1(j)(4)	Request for advisory comments on launch materials	1	1.15.1.1
202.1 202.1(j)(4)	Request for advisory comments on non-launch materials	1	1.15.1.2
202.1 314.550	Presubmission of launch promotional materials for accelerated approval products	1	1.15.1.3
202.1 314.640	Presubmission of launch promotional materials for products approved when human efficacy studies are not ethical or feasible	1	1.15.1.3
202.1 314.550	Presubmission of non-launch promotional materials for accelerated approval products	1	1.15.1.4
314.640	Presubmission of non-launch promotional materials for products approved when human efficacy studies are not ethical or feasible	1	1.15.1.4
202.1 Section 503C of the Federal Food, Drug, and Cosmetic Act	Pre-dissemination review of television ads	1	1.15.1.5
202.1	Response to untitled letter or warning letter	1	1.15.1.6
202.1	Response to information request	1	1.15.1.7
202.1 314.81(b)(3)(i) 202.1(j)(4) 314.550 314.640	Correspondence accompanying materials previously missing or rejected	1	1.15.1.8

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
202.1 314.81(b)(3)(i) 202.1(j)(4) 314.550 314.640	Withdrawal request	1	1.15.1.9
202.1 202.1(j)(4) 314.550 314.640	Submission of annotated references	1	1.15.1.10
202.1	General correspondence	1	1.15.1.11
202.1 314.81(b)(3)(i) 202.1(j)(4) 314.550 314.640	Regulations related to submission of promotional materials [use appropriate sections]	1	1.15.2
202.1 314.81(b)(3)(i) 202.1(j)(4) 314.550 314.640	Regulations related to promotional materials [use appropriate sections]	1	1.15.2.1
202.1 314.81(b)(3)(i) 202.1(j)(4) 314.550 314.640	Clean version	1	1.15.2.1.1
202.1 202.1(j)(4) 314.550 314.640	Annotated version	1	1.15.2.1.2
202.1 202.1(j)(4) 314.550 314.640	Annotated labeling version	1	1.15.2.1.3
202.1 202.1(j)(4) 314.550 314.640	Annotated references	1	1.15.2.1.4
FDAAA 505-1 [355-1]	Risk evaluation and mitigation strategies (REMS)	1	1.16
FDAAA	Correspondence regarding postmarketing commitments	1	1.17.1
FDAAA	Correspondence regarding postmarketing requirements	1	1.17.2
314.420(a)	Drug master files	1, 2, 3, 4, 5	As needed

ANDA Mapping Section

CFR Citation/Source		CTD Section	
NUMBER	TITLE	MODULE	NUMBER
314.96	Amendment to an unapproved application: Chemistry	3	As needed
314.94(9)	Chemistry, manufacturing, and control	3	As needed
314.94(a)(7)	Bioequivalence	5	5.3
314.96	Amendment to an unapproved application: Clinical	5	As needed
314.94(a)(2)	Table of Contents	N/A	N/A

Appendix 2 –Summary of Changes

Module Section	Old Title	New Title	Change Notes
Module 1/Regional Changes			
1.12		1.12.18 Regenerative medicine advanced therapy (RMAT) designation	Added new heading and mapping to CFR
1.18	1.18 Proprietary Names	1.18 Naming 1.18.1 Proprietary names 1.18.2 Biological Proper Name Suffix	Renamed section and added subheadings
Module 2-5			
2.3	2.3 Quality overall summary	2.3 Quality overall summary	Added sub-headings for this section
		2.3.I Introduction	Added new heading
		2.3.S Drug substance [substance (O), manufacturer (O)]	Added new heading and optional keyword
		2.3.P Drug product [product (O), dosage form (O)]	Added new heading and optional keyword
		2.3.A Appendices	Added new heading for new subsections
		2.3.A.1 Facilities and equipment [facility (O)]	Added new heading and optional keyword
		2.3.A.2 Adventitious agents safety evaluation [component (O)]	Added new heading and optional keyword
		2.3.A.3 Excipients	Added new heading
		2.3.R Regional information	Added new heading
3.2.S	3.2.S Drug substance [name, manufacturer]	3.2.S Drug substance [substance (O), manufacturer (O)]	Made keywords optional for 3.2.S
3.2.S.1	3.2.S.1.1 Nomenclature 3.2.S.1.2 Structure 3.2.S.1.3 General properties		Removed subheadings

Summary of Changes

Module Section	Old Title	New Title	Change Notes
3.2.S.7.3	3.2.S.7.3 Stability Data	3.2.S.7.3 Stability Data [descriptor (O)]	Added new optional keyword
3.2.P.2		3.2.p.2.1 components of the drug product 3.2.p.2.2 drug product 3.2.p.2.3 manufacturing process development 3.2.p.2.4 container closure system 3.2.p.2.5 microbiological attributes 3.2.p.2.6 compatibility	Added in subheadings
3.2.P.4	3.2.P.4 Control of excipients[name]	3.2.P.4 Control of excipients [excipient (O)]	Removed name and added new optional keyword
3.2.P.7	3.2.P.7 Container closure system	3.2.P.7 Container closure system [container (O)]	Added new optional keyword
3.2.P.8.3	3.2.P.8.3 Stability Data	3.2.P.8.3 Stability Data [descriptor (O)]	Added new optional keyword
3.2.A	3.2.A.1 Facilities and Equipment [name, manufacturer] 3.2.A.2 Adventitious agents safety evaluation [name, dosage form, manufacturer] 3.2.A.3 Novel excipients	3.2.A.1 Facilities and Equipment [facility (O)] 3.2.A.2 Adventitious agents safety evaluation [component (O)] 3.2.A.3 Novel excipients [excipient (O)]	Changed keywords allowed for these sections
4	Study report [identification number] and related information	[study id_study Title]	For all applicable sections in Module 4, the study id and study title have been concatenated into one keyword Added new allowable document types

Summary of Changes

Module Section	Old Title	New Title	Change Notes
5	Study report [identification] and related information	[study id_study Title]	For all applicable sections in Module 5, the study id and study title have been concatenated into one keyword Added new allowable document types