
Guidance for Industry

Integrated Summaries of Effectiveness and Safety: Location Within the Common Technical Document

DRAFT GUIDANCE

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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)

June 2007
Procedural

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

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TABLE OF CONTENTS

I.	INTRODUCTION.....	1
II.	BACKGROUND	2
III.	ISE- AND ISS-RELATED DIFFERENCES BETWEEN MODULE 2 AND MODULE 5 OF THE CTD AND eCTD	2
A.	Module 2: Appropriate Location of Efficacy and Safety Overviews and Summaries.....	3
B.	Module 5: Appropriate Location of the ISE and ISS	4
C.	Exceptions.....	4
IV.	SPECIAL INSTRUCTIONS FOR THE eCTD FORMAT	4
V.	EXAMPLES OF NDA AND BLA SUBMISSIONS.....	4
A.	Example 1: Large ISS Placed in Module 5	5
B.	Example 2: Small ISS Placed in Module 5.....	5
C.	Example 3: Large ISS Placed in Module 2	6
D.	Example 4: Small ISS Split Between Module 2 and Module 5	7

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1 **Guidance for Industry¹**
2 **Integrated Summaries of Effectiveness and Safety: Location**
3 **Within the Common Technical Document**
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7
8 This draft guidance, when finalized, will represent the Food and Drug Administration's (FDA's) current
9 thinking on this topic. It does not create or confer any rights for or on any person and does not operate to
10 bind FDA or the public. You can use an alternative approach if the approach satisfies the requirements of
11 the applicable statutes and regulations. If you want to discuss an alternative approach, contact the FDA
12 staff responsible for implementing this guidance. If you cannot identify the appropriate FDA staff, call
13 the appropriate number listed on the title page of this guidance.
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18 **I. INTRODUCTION**
19

20 This guidance is intended to clarify for industry where to include the integrated summary of
21 effectiveness (ISE) and integrated summary of safety (ISS) when submitting applications in the
22 common technical document (CTD) format. The guidance applies to applicants submitting new
23 drug applications (NDAs) or biologics license applications (BLAs) to the Food and Drug
24 Administration (FDA) in the CTD or the electronic common technical document (eCTD) format.
25

26 The word *summary* in the terms *integrated summary of effectiveness* and *integrated summary of*
27 *safety* has caused confusion for companies submitting applications in the CTD format, as it
28 suggests a reference to the abbreviated overview documents that are placed in Module 2 of an
29 application in the CTD format. However, the ISE and ISS are not summaries but rather detailed
30 integrated analyses of all relevant data from the clinical study reports that belong in Module 5.²
31 The FDA considers the ISE and ISS critical components of the clinical efficacy and safety
32 portions of a marketing or licensing application. Therefore, the ISE and ISS are required in
33 applications submitted to the FDA in accordance with the regulations for NDA submissions (21
34 CFR 314.50(d)(5)(v) and 21 CFR 314.50(d)(5)(vi)(a), respectively). Although there are no
35 corresponding regulations requiring an ISE or ISS for BLA submissions, applicants are
36 encouraged to provide these analyses.
37

38 This guidance focuses on where to place ISE and ISS documents within the structure of the CTD
39 or eCTD. It does not outline in detail the content for the ISE and ISS. The content will be
40 addressed in future guidances.

¹ This guidance has been prepared by the Office of New Drugs in 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.

For more information, see http://www.fda.gov/cder/regulatory/ersr/ISS_ISE_clarification.htm.

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42 FDA's guidance documents, including this guidance, do not establish legally enforceable
43 responsibilities. Instead, guidances describe the Agency's current thinking on a topic and should
44 be viewed only as recommendations, unless specific regulatory or statutory requirements are
45 cited. The use of the word *should* in Agency guidances means that something is suggested or
46 recommended, but not required.

II. BACKGROUND

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51 In July 1988, the FDA published guidance on the *Format and Content of the Clinical and*
52 *Statistical Sections of an Application* (Clin-Stat guidance). The Clin-Stat guidance describes an
53 appropriate format for organizing the clinical and statistical sections of an application and
54 presenting the clinical and statistical information and accompanying statistical documentation of
55 a clinical trial.

56
57 In 2001, the broad outline of the ISE and ISS, as described in the Clin-Stat guidance, was
58 partially updated by the ICH guidance *M4 Common Technical Document for the Registration of*
59 *Pharmaceuticals for Human Use*, which is published in four parts (general organization, quality,
60 safety, and efficacy). However, since the ISE and ISS are unique to the United States, their
61 contents are not addressed in detail in *M4E: The CTD — Efficacy*, which covers the Clinical
62 Overview and Clinical Summary sections of Module 2 and the Clinical Study Reports in Module
63 5. Specifically, ICH M4E does not specify the location of the full reports of the ISE and ISS.
64 Therefore, when finalized, this guidance will describe the appropriate location of the ISE and
65 ISS, whose contents are described in the Clin-Stat guidance, sections II.G. and H., respectively.

III. ISE- AND ISS-RELATED DIFFERENCES BETWEEN MODULE 2 AND MODULE 5 OF THE CTD AND eCTD

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71 The purpose of the CTD or eCTD is to provide a common organization for the contents of a
72 marketing or licensing application. In some cases, ICH guidance has led to substantial or
73 complete harmonization of content areas such as the study report, but that is not the case for all
74 parts of all applications. Therefore, applications can still vary based on regional requirements or
75 applicant preference, and applications using the CTD or eCTD format (Module 2 to Module 5)
76 will not be identical for all ICH regions.

77
78 The CTD/eCTD Module 2 contains several clinical sections that are summaries. These sections
79 include section 2.7.3, Summary of Clinical Efficacy, and section 2.7.4, Summary of Clinical
80 Safety. Generally, the Module 2 clinical summary sections (hereafter *clinical summary sections*)
81 follow the outline of the ISE and ISS described in ICH M4E; however, they do not describe the
82 needed level of detail for an ISE or an ISS. In addition, these clinical summary sections are
83 subject to space limitations in the eCTD of about 400 pages, whereas a typical ISS alone often
84 can be substantially larger.

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86 A common problem with the CTD-formatted applications is that the applicants incorrectly
87 assume that the clinical summary sections satisfy the regulatory requirement for the ISE and ISS.
88 This assumption can result in a determination by the FDA that an application is incomplete and
89 may result in a refusal-to-file action for the application.³ Although the clinical summary sections
90 should be considered the appropriate locations for the clinical summary portions of a marketing
91 application submitted to the United States (as required under 21 CFR 314.50(c)(2)(viii)), as
92 discussed in section III.A, the clinical summary sections should **not** be considered the
93 appropriate location for the ISE or ISS, with rare exceptions. The recommended appropriate
94 location for the ISE or ISS is Module 5, as discussed in section III.B.

95
96 Table 1 lists the various sections of the CTD that contain summary and integrated discussions of
97 efficacy and safety. The listed sections are mapped to the corresponding U.S. regulations, where
98 applicable, that apply to the content of those sections. Any questions about these matters should
99 be discussed with the appropriate review division.

100
101 **Table 1: ISE- and ISS-Related Sections with Corresponding Regulations**

CTD Section	U.S. Regulation	Comment
2.5 Clinical Overview (~30 pages) 2.5.3 Overview of Efficacy 2.5.4 Overview of Safety	N/A	Not a U.S. requirement, but recommended by ICH M4E
2.7 Clinical Summary (~50 – 400 pages) 2.7.3 Summary of Clinical Efficacy 2.7.4 Summary of Clinical Safety	21 CFR 314.50(c)(2)(viii)	U.S. requirement for a clinical summary
5.3 Clinical Study Reports 5.3.5.3 Reports of Analyses of Data from More than One Study (Including Any Formal Integrated Analyses, Meta-Analyses, and Bridging Analyses)	21 CFR 314.50(d)(5)(v) 21 CFR 314.50(d)(5)(vi)	Integrated Summary of Effectiveness Integrated Summary of Safety

102
103 **A. Module 2: Appropriate Location of Efficacy and Safety Overviews and**
104 **Summaries**
105

106 An overview of efficacy and safety results can be included in sections 2.5.3, Overview of
107 Efficacy, and 2.5.4, Overview of Safety. Usually, these overviews should be brief but thorough
108 discussions of the study design, effectiveness, and general safety results. These overviews
109 should contain mostly text with some tables and figures incorporated.

110
111 More detailed summaries of efficacy and safety should be provided in sections 2.7.3, Summary
112 of Clinical Efficacy, and 2.7.4, Summary of Clinical Safety. These summary documents should
113 consist mostly of text, but with tables and figures incorporated as needed, too. The clear intent
114 of sections 2.7.3 and 2.7.4 is to provide summaries of data, not a complete exposition. It is not
115 necessary, or desirable, to provide all of the details appropriate to an ISE or ISS in these sections,
116 as this would defeat the purpose of a summary. Rather, sections 2.7.3 and 2.7.4 should contain
117 summarized information derived from the full ISE and ISS (i.e., the highlights of the appropriate

³ For more information, refer to the CDER guidance for industry *Refusal to File* (<http://www.fda.gov/cder/guidance.index.htm>) and the CBER Standard Operating Procedure and Policy 8404 *Refusal to File Procedures for Biologic License Applications* (<http://www.fda.gov/cber/regsopp/regsopp.htm>).

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118se ctions of each document as outlined in ICH M4E). Only in unusual cases should the narrative
119 parts of the full ISE or ISS and the summaries in sections 2.7.3 and 2.7.4 be the same (see
120 section III.C.). The ISE and ISS will be more extensive than the summaries and should include
121 not only text and incorporated tables and figures, but additional appendices of tables, figures, and
122 datasets as well.

123

B. Module 5: Appropriate Location of the ISE and ISS

124

125
126 In general, Module 5, specifically section 5.3.5.3, Reports of Analyses of Data from More than
127 One Study (Including Any Formal Integrated Analyses, Meta-Analyses, and Bridging Analyses),
128 is the appropriate location for the ISE and ISS. This module is designed to contain more detailed
129 in-depth analyses, and unlike Module 2, Module 5 has no space limitation. Module 5 is the
130 appropriate section of the CTD for analyses containing large appendices of tables, figures, and
131 datasets typically found in an ISE and ISS.

132

C. Exceptions

133

134
135 There may be situations in which sections 2.7.3, Summary of Clinical Efficacy, and 2.7.4,
136 Summary of Clinical Safety, would be sufficiently detailed to serve as the narrative portion of
137 the ISE and ISS, respectively, while still concise enough to meet the suggested size limitations
138 for Module 2. This situation is rare but can occur if the application is small and consists of a
139 single study or a number of small studies. In our experience, the narrative portion of the ISE
140 often is more amenable for inclusion in Module 2 than is the ISS. In such situations, the ISE and
141 ISS can be split across Module 2 and Module 5, with the narrative portion located in section
142 2.7.3 or 2.7.4 and the appendices of tables, figures, and datasets located in section 5.3.5.3. If the
143 ISE or ISS is split across modules in this way, it is critical that a clear explanation of where the
144 parts are located be included. This explanation should be placed both in Module 2 (section 2.7.3
145 or 2.7.4) and in Module 5 (section 5.3.5.3).

146

147

IV. SPECIAL INSTRUCTIONS FOR THE eCTD FORMAT

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149
150 Because an increasing number of applications are being submitted electronically, it is important
151 for review purposes that the location of information in an eCTD be consistent across
152 applications. Therefore, the ISE and ISS should be placed in Module 5, section 5.3.5.3. If the
153 narrative portion of the ISE or ISS is suitable for use in section 2.7.3 or 2.7.4, the narrative
154 portion should be submitted only once and referenced in both Module 2 (section 2.7.3 or 2.7.4)
155 and Module 5, section 5.3.5.3 (i.e., provide leaf elements in both locations).

156

157

V. EXAMPLES OF NDA AND BLA SUBMISSIONS

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159
160 The following examples describe real-life scenarios of NDA and BLA submissions and where
161 the ISE and ISS information should be located appropriately in the CTD.

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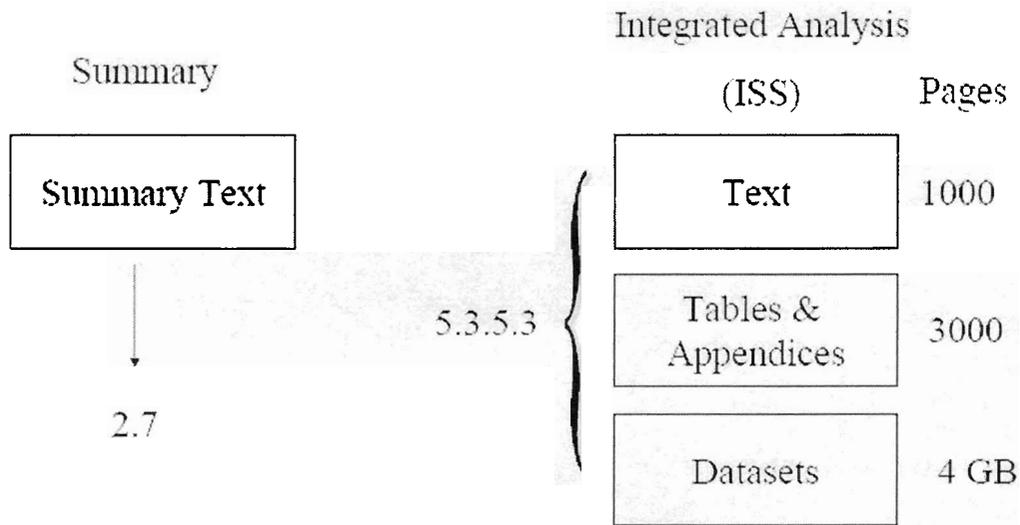
163 **A. Example 1: Large ISS Placed in Module 5**

164

165 An applicant submits a BLA or BLA supplement with an ISS consisting of 1,000 pages of text
166 (with incorporated tables and figures), 3,000 pages of appendices of supporting tables and
167 figures, and 4 gigabytes (GB) of datasets used in the integrated safety analyses. The full ISS is
168 placed in Module 5 (section 5.3.5.3). The text portion is summarized in a smaller 100-page
169 document and placed in Module 2 (section 2.7.4) as the Summary of Clinical Safety. Figure 1
170 illustrates this example.

171

172 Figure 1



173

174

175 This submission is acceptable. The ISS is appropriately located in section 5.3.5.3. The text
176 portion is too large for Module 2 and is appropriately summarized for section 2.7.4.

177

178 **B. Example 2: Small ISS Placed in Module 5**

179

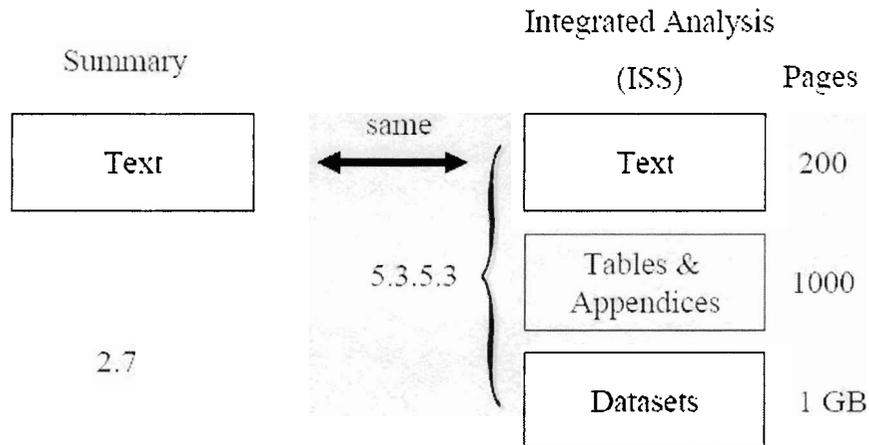
180 An applicant submits an NDA for an orphan drug. The ISS contains 100 pages of text (with
181 incorporated tables and figures), 1,000 pages of appendices of supporting tables and figures, and
182 1 GB of datasets used in the integrated safety analyses. The full ISS is placed in Module 5
183 (section 5.3.5.3). The text portion of the ISS is repeated in Module 2 (section 2.7.4) as the
184 Summary of Clinical Safety. Figure 2 illustrates this example.

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186Fi gure 2



187
188

189This submission is acceptable. The ISS is small so the text portion can also serve as the
190 Summary of Clinical Safety in Module 2.

191

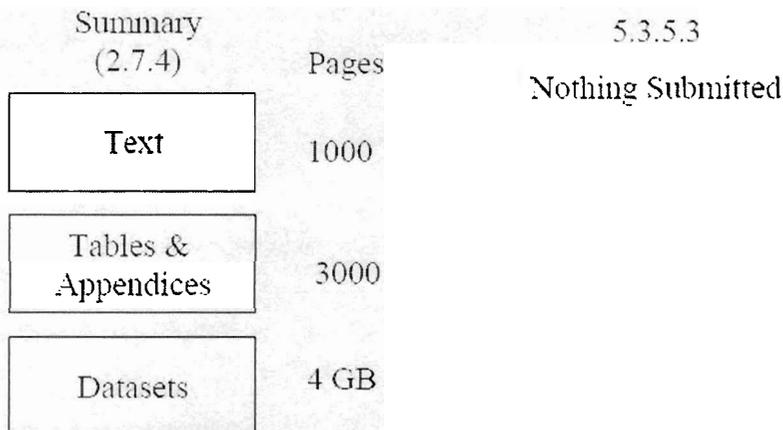
C. Example 3: Large ISS Placed in Module 2

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193
194 An applicant submits an NDA for a new molecular entity. The ISS contains 1,000 pages of text
195 (with incorporated tables and figures), 3,000 pages of appendices of supporting tables and
196 figures, and 4 GB of datasets. All are placed in Module 2, section 2.7.4. Nothing is placed in
197 Module 5 (section 5.3.5.3). Figure 3 illustrates this example.

198

199 Figure 3



200
201

202This submission is unacceptable. Although the application contains an ISS, it is inappropriately
203 placed in Module 2 and exceeds the suggested size limitation for section 2.7.4. The application
204 does not contain a true clinical summary, which could result in a refuse-to-file action.

205

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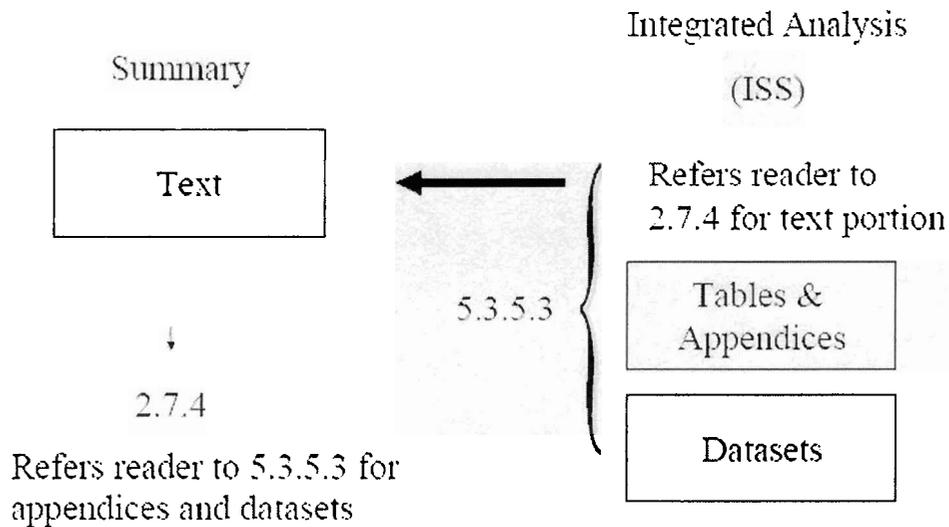
206 **D. Example 4: Small ISS Split Between Module 2 and Module 5**

207

208An applicant submits an NDA supplement. The ISS contains 100 pages of text (with
209 incorporated tables and figures), 1,000 pages of appendices of supporting tables and figures, and
210 1 GB of datasets used in the integrated safety analyses. The ISS is split: the text portion is
211 placed in Module 2 (section 2.7.4), and the appendices and datasets are placed in Module 5
212 (section 5.3.5.3). Section 2.7.4 refers the reader to section 5.3.5.3 for the appendices and
213 datasets. Section 5.3.5.3 refers the reader to section 2.7.4 for the text portion of the ISS. Figure
214 4 illustrates this example.

215

216 Figure 4



217

218

219T his submission is acceptable. The ISS is small, allowing the text portion of the ISS to also
220 function as the Summary of Clinical Safety in Module 2. Each section of the split ISS refers the
221 reader to the appropriate section where the remainder of the ISS is located.

222