
Table of Contents

Section I: General Information

Chapter 1	FDA and Related Regulatory Agencies.....1 <i>By Mitchell Berger, MPH, JD, RAC and Barry A. Berger, JD, MBA</i>
Chapter 2	History of Food, Drug and Cosmetic Laws31 <i>Updated by Kandarp Shah, MS, PhD, RAC</i>
Chapter 3	Overview of Drug, Biologic, Device, Combination Product and Food Regulatory Pathways.....41 <i>Updated by Joy Frestedt, PhD, CPI, RAC, FRAPS</i>
Chapter 4	FDA Communications and Meetings.....71 <i>Updated by Peggy Berry, MBA, RAC and Kell Cannon, MBA</i>
Chapter 5	Preparing for FDA Advisory Committee Meetings81 <i>Updated by Jim DiBiasi and Cindy DiBiasi</i>
Chapter 6	Good Laboratory Practice Regulations89 <i>Updated by Pallavi Sharma Das, MS, RAC (US)</i>
Chapter 7	Current Good Manufacturing Practices and Quality System Design103 <i>Updated by Jocelyn Jennings, MS, RAC and Carrie Kuehn, MA, MPH, RAC</i>
Chapter 8	FDA User Fees117 <i>By Allison C. Komiyama, PhD, RAC</i>
Chapter 9	Regulatory Strategy123 <i>By Kathrin Schalper, PhD, RAC</i>
Chapter 10	Traceability and Supply Chain129 <i>By Bernard D. Naughton, MPharm, MRPharmS, DipClinPhar, Mona J. Kosbkouei, MPharm and David Brindley, DPhil, MEng</i>
Chapter 11	Healthcare Fraud and Abuse Compliance.....137 <i>Updated by Joanne Rupperecht, Esq., RAC (US, Global)</i>

Section II: Drugs

Chapter 12	Prescription Drug Product Submissions145 <i>By Cassie Alexander, RAC</i>
Chapter 13	Nonclinical Studies of Drug Product and Good Laboratory Practice Regulations.....167 <i>Updated by Linda Yang, PhD, MBA, CQA, RAC</i>
Chapter 14	Clinical Trials: GCPs, Regulations and Compliance for Drugs and Biologics179 <i>Updated by William K. Sietsema, PhD</i>

Chapter 15	Postapproval Prescription Drug Submissions and Compliance	197
	<i>Updated by Cassie Alexander, RAC</i>	
Chapter 16	Generic Drug Submissions.....	211
	<i>Updated by Michael H. Hinckle, Esq. and Snehal Trivedi, PharmD, JD, RAC</i>	
Chapter 17	Patents and Exclusivity.....	223
	<i>Updated by Kurt R. Karst, JD</i>	
Chapter 18	Over-the-Counter (Nonprescription) Drug Products	235
	<i>Updated by Joy Frestedt, PhD, CPI, RAC, FRAPS(1) and Kandarp Shah, MS, PhD, RAC(2)</i>	
Chapter 19	Prescription Drug Labeling, Advertising and Promotion	245
	<i>By Jocelyn Jennings</i>	
Chapter 20	Pharmacovigilance and Risk Management.....	257
	<i>Updated by Syed Rizwanuddin Ahmad, MD, MPH, FISPE, FCP</i>	
Section III: Medical Devices		
Chapter 21	Medical Device Submissions	269
	<i>Updated by Nancy W. Mathewson, Esq. and Nancy F. Teague, MPH</i>	
Chapter 22	Medical Device Preclinical Testing and GLPs	293
	<i>Updated by Karen Jaffe, MS, MBA, RAC</i>	
Chapter 23	Medical Device Clinical Testing and GCPs	303
	<i>By Angela N. Johnson, MSE, PMP, RAC</i>	
Chapter 24	Medical Device Compliance and Postmarketing Activities	325
	<i>Updated by Evangeline Loh, PhD, RAC (US, EU)</i>	
Chapter 25	In Vitro Diagnostics Submissions and Compliance	337
	<i>By Seameen J. Dehdashti, MScM, RAC</i>	
Chapter 26	Advertising, Promotion and Labeling for Medical Devices and In Vitro Diagnostics (IVDs).....	347
	<i>Updated by Carol M. Cooper, MS, IM(ASCP), RM(AAM), RAC</i>	
Section IV: Biologics		
Chapter 27	Biologics Submissions	357
	<i>Updated by Sunny Kamlesh Dave, MPharm</i>	
Chapter 28	Biologics Preclinical Testing and GLPs	391
	<i>By Sarah Robinson, MBioChem, Andrew Slade, PhD, James Smith, RAC, DPhil Candidate</i>	
Chapter 29	Biologics Compliance.....	401
	<i>Updated by Alexandra Beumer Sassi, PhD, RAC</i>	
Chapter 30	Biosimilars	413
	<i>By Charity-Anne M. Schuller, PharmD, MS, RAC and Kirsten Messmer, PhD, RAC</i>	
Chapter 31	Biologics Labeling, Advertising and Promotion	433
	<i>By Jocelyn Jennings, MS, RAC</i>	
Section V: Other Product Classifications		
Chapter 32	Blood and Blood Products	443
	<i>Updated by Jennifer Wilhelm, MSc, MBA, RAC</i>	

Chapter 33	Regulating Regenerative Medicine: Cell Therapy, Gene Therapy and Tissue Engineering	449
	<i>Updated by Alexandra Beumer Sassi, PhD, RAC</i>	
Chapter 34	Food Products.....	465
	<i>By Edward A. Steele, Charles Breen, Elizabeth Campbell, Robert Martin, PhD</i>	
Chapter 35	Dietary Supplements and Homeopathic Products	483
	<i>Updated by Abhishek K. Gurnani, JD and Ashish R. Talati, JD, MS, RAC</i>	
Chapter 36	Medical Foods.....	507
	<i>Updated by Fernando Henrique Xavier de Brito, MSc, MBA</i>	
Chapter 37	Combination Products.....	517
	<i>Updated by Demetra Macheras and Gresham Weatherly, PhD</i>	
Chapter 38	Products for Small Patient Populations.....	529
	<i>By Jocelyn Jennings, MS, RAC</i>	
Chapter 39	Human Cell and Tissue Products	537
	<i>By Martha Wells, MPH, RAC</i>	
Chapter 40	Regulations and Laws Pertaining to Pediatrics	547
	<i>By Kathrin Schalper, PhD, RAC</i>	
Chapter 41	Cosmetics	555
	<i>Update by Valerie Ramsey, DRSc, MS, RAC</i>	
Chapter 42	Veterinary Products.....	569
	<i>Updated by Holly M. Winchell, DVM</i>	

Section VI: Inspection and Enforcement

Chapter 43	FDA Inspection and Enforcement.....	585
	<i>Updated by Robert Guzman JD, RAC</i>	

Section VII: Resources

Chapter 44	Regulatory Information Resources in Review	595
	<i>By Tina O'Brien, MS, RAC (US)</i>	

Appendices

Comparative Matrix of Regulations Across Product Lines	619
Glossary of Terms.....	653
Index.....	677

Figures

Figure 1-1.	FDA Organizational Chart	7
Figure 3-1.	Rapidly Increasing Guidance Documents.....	47
Figure 3-2.	Decision Tree for Drug and Device Development and Approval When FDA Premarket Review is Required.....	48
Figure 3-3.	CTD Organization	54
Figure 4-1.	NDA and BLA Submissions.....	74
Figure 5-1.	Major Milestone Timeline.....	84
Figure 5-2.	Project Management Chart	86
Figure 6-1.	Components of GLP.....	90
Figure 6-2.	GXP Compliance in Drug Discovery Phases	91
Figure 6-3.	Study Types Required in IND and NDA Applications	92

Figure 6-4.	Fiscal 2015 GLP Inspection Classifications	94
Figure 7-1.	Quality System Elements	105
Figure 7-2.	Postmarket Surveillance.....	106
Figure 12-1.	FDA IND Review Process.....	150
Figure 12-2.	Diagram of the ICH Common Technical Document (CTD)	157
Figure 12-3.	Timeline and Product Review Clock	160
Figure 12-4.	Timeline and PDUFA Review Clock for Products Under “The Program” Described in PDUFA V.....	162
Figure 15-1.	Summary of Reporting Categories for Postapproval Changes	200
Figure 15-2.	Example of a CMC Index	205
Figure 16-1.	Summary Chart of Paragraph IV Litigation.....	214
Figure 16-2.	FDA’s ANDA Approval Process.....	217
Figure 18-1.	Example of an OTC Drug Facts Label	242
Figure 22-1.	Three Types of Internal Audits.....	297
Figure 23-1.	Types of Medical Device Clinical Trials and Typical Pathway	311
Figure 23-2.	AE/SAE and ADE/UAE Determination Pathway in Medical Device Trials (adapted from ISO 14155:2011)	320
Figure 27-1.	Case Study—Keytruda.....	388
Figure 28-1.	Preclinical Testing Flowchart	393
Figure 30-1.	Number of Biosimilar INDs Received by CDER by Fiscal Year	417
Figure 30-2.	Number of Biosimilar Type 1–4 Meetings Held by CDER by Fiscal Year	419
Figure 33-1.	Framework for Assessing Gene Therapy-Related Delayed Adverse Event Risks	458
Figure 35-1.	Sample Supplement Facts Boxes.....	489
Figure 40-1.	The “Pediatric Process Flow” for Pharmaceuticals.....	550
Figure 40-2.	Total FDA Review Timeline to Agreed PSP	551

Tables

Table 2-1.	Electronic Resources for US Laws and Regulations	33
Table 2-2.	Other Laws, Regulations and Guidelines.....	40
Table 3-1.	Title 21 CFR Parts.....	49
Table 3-2.	Key Questions in a Drug Development Program	50
Table 3-3.	IND Safety Reporting Timeframes.....	56
Table 3-4.	Summary of Device Classification System	64
Table 4-1.	Description of FDA Product Application Meetings and Associated Timelines.....	77
Table 6-1.	EIR Classification	93
Table 8-1.	Cost of Principal User Fee Programs for Fiscal 2016 and 2017.....	120
Table 9-1.	Target Product Profile (TPP) Summarizing Label Concepts	124
Table 9-2.	Key Databases for US Regulatory Information (Free of Charge).....	125
Table 9-3.	Regulatory Key Questions During Development (Pharmaceuticals).....	126
Table 10-1.	Terms and Definitions.....	130
Table 10-2.	Transaction Terms and Definitions	131
Table 10-3.	DSCSA Stakeholder Definitions and Key Terminology	133
Table 10-4.	Timelines for Implementing Key Plan Elements.....	134
Table 11-1.	State Laws on Manufacturer Interaction With Healthcare Providers.....	141
Table 17-1.	180-Day Exclusivity Forfeiture Snapshot.....	230
Table 17-2.	Differences Among Applications Submitted and Approved Under FD&C Act Section 505	231
Table 18-1.	OTC Monograph Therapeutic Category Subtopics Evaluated as Part of the OTC Review Process	238
Table 18-2.	Acne Drug Products: Benzoyl Peroxide	239
Table 18-3.	NDA vs. OTC Drug Monograph.....	240
Table 19-1.	PLR Format, Associated Regulations and Guidance Documents	250
Table 21-1.	Device Classification Summary of Requirements.....	273
Table 21-2.	Typical Data Requirements Based on Device Class.....	275
Table 21-3.	Typical Device Studies Covered Under the IDE Regulation	276
Table 23-1.	Significant Medical Device Legislation Relevant to Clinical Trials in the US	307
Table 23-2.	Comparison of 21 CFR and ISO-GCP Requirements for Protocol Deviations in Medical Device Clinical Trials.....	314
Table 23-3.	Comparison of 21 CFR and ISO-GCP Requirements for Protocol Deviations in Medical Device Clinical Trials.....	316

Table 23-4.	Comparison of 21 CFR and ISO-GCP Requirements for Recordkeeping in Medical Device Clinical Trials.....	318
Table 23-5.	Comparison of 21 CFR and ISO-GCP Requirements for Device Accountability in Medical Device Clinical Trials	319
Table 24-1.	Domestic Establishments	327
Table 24-2.	Foreign Establishments	328
Table 24-3.	Annual Registration Process	331
Table 24-4.	UDI Implementation Compliance Dates	332
Table 27-1.	Key Milestones in the Regulatory Oversight of Biologics.....	360
Table 27-2.	Applications Regulated by PHS Act	362
Table 27-3.	Applications Regulated by the FD&C Act	362
Table 27-4.	Biologics Controlled by CDER and CBER:	363
Table 27-5.	Submissions With Specific Regulatory-Mandated Timelines (e.g., SPAs) or FDA-Established Timelines (e.g., Reviews of Proposed Pediatric Study Requests).....	364
Table 27-6.	Safety-Related Submissions	366
Table 27-7.	IND Drug Development Submissions	367
Table 27-8.	Other Submission Types.....	370
Table 27-9.	Key CMC Guidance for Biological Product Development	374
Table 27-10.	CTD Dossier: General CMC Requirements During Phases 1, 2 and 3 and BLA/NDA Applications	378
Table 27-11.	NDA/BLA Standard and Priority Review Process (PDUFA V)	383
Table 27-12.	Biosimilarity Guidance Documents.....	384
Table 27-13.	Topics Covered in Type A, B and C Meetings	386
Table 28-1.	Sources of Regulatory Guidance.....	392
Table 30-1.	BsUFA Fees Financial Year 2017 (1 October 2016–30 September 2017)	416
Table 30-2.	Meetings Between FDA and Biosimilar Biological Product Sponsors	418
Table 30-3.	Comparison of Development Programs Between Chemical Drugs and Biological Products.....	422
Table 30-4.	FDA-Approved Biosimilars	427
Table 33-1.	List of Marketed Products from OCTGT	451
Table 33-2.	Definition of Minimal Manipulation	452
Table 33-3.	361 and 351 Product Classification and Regulation	453
Table 33-4.	Summary of Relevant IND Information for Generation of Cell Populations for Therapeutic Use	455
Table 33-5.	Integration Properties of Current Commonly Used Gene Therapy Vectors in Clinical Trials	460
Table 33-6.	Guidance Available for Regenerative Medicine Products (In Reverse Chronological Order)	461
Table 37-1.	Unique Postmarket Safety Reporting Provisions for Combination Products	524
Table 39-1.	21 CFR 1271	539
Table 39-2.	Overview of the Core CGTP Requirements (21 CFR 1271, Subpart D).....	541
Table 39-3.	FDA Regulation of Minimally Manipulated Cord Blood Products.....	542
Table 40-1.	Full Waiver Request: Disease-Specific Waivers.....	549
Table 40-2.	Pediatric Age Groups (Pharmaceuticals)	549
Table 41-1.	Examples of Claims That Misbrand or Adulterate Cosmetic Products	559
Table 42-1.	Summary of Veterinary Product Types	572
Table 43-1.	FDA Enforcement Actions.....	589
Table 44-1.	Agencies, Organizations, Institutes, Centers and Offices Associated with Healthcare Product Regulation	598
Table 44-2.	Publisher Resources.....	600
Table 44-3.	Databases for Healthcare Product Regulatory-Related Intelligence	604
Table 44-4.	Societies, Trade Associations, Advocacy Groups and Associations Providing Learning Resources	609