

Table of Contents

Section I: General Information

Chapter 1:	Introduction to International Regulatory Affairs	1
	<i>Updated by Rowena Cook, MS, RAC and Sharad Mi Shukla, RAC</i>	
Chapter 2:	Crisis Management for the Healthcare Product Industry	11
	<i>Updated by Treena Jackson, MS, MA, CQA, RAC (US), CSSGB</i>	
Chapter 3:	Clinical Trials, Good Clinical Practice, Regulations, and Compliance	19
	<i>Updated by Anu Gaur, PhD, MBA, MSRA, RAC, Bettina Merz-Nideroest, MPharm, and Andrea Zobel, PhD</i>	
Chapter 4:	In-Country Representation	35
	<i>Updated by Pei-Ting S. Chou, PCQI, RAC</i>	
Chapter 5:	International Advertising and Promotion	55
	<i>Updated by Treena Jackson, MS, MA, CQA, RAC (US), CSSGB</i>	
Chapter 6:	Compliance and Enforcement.....	65
	<i>Updated by David W. Husman, PhD, ASQ CPGP, RAC and John Rossman, MBEE, RAC</i>	
Chapter 7:	International Counterfeit Regulations.....	87
	<i>Updated by Jos Kraus, PharmD, FRAPS and Siegfried Schmitt, PhD</i>	
Chapter 8:	Regulatory Reliance	113
	<i>By Daniela Drago, PhD, RAC and Murray M. Lumpkin, MD, MSc</i>	
Chapter 9:	Pricing and Reimbursement	123
	<i>Updated by Anu Gaur, PhD, MBA, MSRA, RAC</i>	
Chapter 10:	Health Technology Assessment (HTA)	143
	<i>Updated by Azzurra Ravizza, MSc and Monique Carter, MS, RAC</i>	

Figures

Figure 3-1.	Acceptance of Foreign Clinical Data.....	25
Figure 3-2.	Quality Management System.....	30
Figure 6-1.	TPLC Cycle for Devices.....	67
Figure 6-2.	Medical Device Design Control and Review Process.....	71
Figure 7-1.	WHO Global Monitoring System.....	106
Figure 8-1.	Building Confidence and Trust for Greater Reliance	115

Figure 9-1.	Factors Influencing Medicinal Product Pricing.....	124
Figure 9-2.	Overview of ERP Across Europe (2013)	127
Figure 9-3.	Summary of Economic Evaluation Methods	129
Figure 9-4.	Types of Cost Containment Policies Adopted by Member States	130
Figure 9-5.	German Pricing for Medicinal Products Under AMNOG.....	134
Figure 10-1.	Process Map for France	149
Figure 10-2.	Process Map for Germany.....	151
Figure 10-3.	Mean Length of Time From EMA Authorisation to HTA Decision for Oncology Products.....	152
Figure 10-4.	Process Map for England	154
Figure 10-5.	Process Map for Scotland.....	155
Figure 10-6.	Historical MaHTAS Milestones	159
Figure 10-7.	Flow Diagram of HTA in South Korea	162
Figure 10-8.	Framework for Pricing Drugs and Devices in Japan	163
Figure 10-9.	Map of Australian Government HTA Processes for Market Entry and Reimbursement Processes	164
Figure 10-10.	Timeline of US “HTA Like” Bodies.....	165
Figure 10-11.	Overview of the Canada Public System Reimbursement Decision Pathway	169
Figure 10-12.	HTA Timeline in Latin America.....	170

Tables

Table 3-1.	Regional Regulatory Authorities.....	26
Table 6-1.	Applicability of GxPs to Standardized Market Authorization Application Formats	75
Table 7-1.	Definitions of Key Terms in This Chapter.....	89
Table 7-2.	Methods to Reduce the Risk for Counterfeit and Falsification and Ensure Product Traceability.....	90
Table 7-3.	DSCSA Definition of Stakeholders and Key Terminology.....	92
Table 7-4.	FDA Timelines for Implementation of Key Plan Elements.....	93
Table 7-5.	Different Medicinal Product Supply Chain Stakeholder Requirements Under the FMD.....	99
Table 7-6.	Persons or Institutions That May Be Considered Exempt by Individual States	101
Table 7-7.	Examples of Substandard and Falsified Products Reported to the GSMS (2013-2017).....	105
Table 9-1.	Overview of Reference Pricing and Country Baskets in Europe.....	128
Table 10-1.	Summary of Time From EMA Authorisation to HTA Decision and Outcome	148
Table 10-2.	HTA and Associated Organizations in Selected EU Member States and the UK.....	150
Table 10-3.	Comparison of HTA in Germany, France, UK, Italy, and Spain	153
Table 10-4.	Summary of HTA Status in Select Asian Countries.....	157
Table 10-5.	MaHTAS 1995–2018 Impact Overview.....	158
Table 10-6.	13 Selected Products for Japan MHLW 3-Year HTA Pilot Evaluation.....	160
Table 10-7.	Drugs Eligible for CADTH’s Drug Review Processes.....	161
Table 10-8.	Summary of CADTH’s Elements and Recommendation Categories.....	166
Table 10-9.	Latin American Country-Specific HTA Overview.....	167

Section II: Pharmaceuticals

Chapter 11:	Premarket Requirements/Dossier Requirements.....	177
	<i>Updated by Monique Carter, MS, RAC and Jesshanie Tabaniag</i>	
Chapter 12:	Authorization Procedures for Pharmaceutical Products.....	187
	<i>Updated by Orin Chisholm, GCULT, PhD, MTOPRA, SFHEA and Monique Carter, MS, RAC, MTOPRA</i>	

Chapter 13:	Stability Test Requirements.....	207
	<i>Updated by Sharry Arora, MPharm and Rosie Dawes</i>	
Chapter 14:	Quality Systems and Inspectorate Process for Pharmaceuticals	221
	<i>Updated by Siegfried Schmitt, PhD</i>	
Chapter 15:	Generic Drug Products	243
	<i>Updated by Pallavi Trivedi, MPH, RAC and Anu Gaur, PhD, MBA, MSRA, RAC</i>	
Chapter 16:	Over-the-Counter (OTC) Products.....	261
	<i>Updated by Robert Falcone, PhD</i>	
Chapter 17:	Pharmaceutical Postmarketing and Compliance	273
	<i>Updated by Kathrin Schalper, PhD, RAC</i>	

Figures

Figure 11-1.	CTD Organization	180
Figure 14-1.	Drug Lifecycle Regulations.....	222
Figure 14-2.	Assessors and Inspectors	223
Figure 14-3.	EU Legal Instruments.....	226
Figure 14-4.	Inspections as Part of the Drug Approval Process.....	227
Figure 17-1.	MedDRA Coding Hierarchy	282

Tables

Table 11-1.	ACTD Format and Content	184
Table 12-1.	ICH Members (as of May 2020).....	188
Table 12-2.	Country-Specific Regulatory Requirements.....	190
Table 13-1.	Climatic Zones.....	208
Table 13-2.	WHO Recommended Stability Testing Conditions for Drug Substance and Drug Product	212
Table 13-3.	Recommended Stability Storage Conditions for Refrigerated and Frozen Drug Substance and Drug Product	213
Table 13-4.	Country-Specific Climatic Zones and Stability Data Requirements for Asia Pacific Region	216
Table 13-5.	Country-Specific Climatic Zones and Stability Data Requirements for Latin America.....	217
Table 13-6.	Country-Specific Climatic Zones and Stability Data Requirements for SEE, Middle East, and Africa.....	218
Table 14-1.	PIC/S Member States	235
Table 15-1.	Comparative Study Parameter Assessment Between the US, EU, and Canada.....	245
Table 15-2.	GDUFA II User Fee Rates	248
Table 15-3.	Comparison of Generic Product Development Regulatory Requirements in Select Countries	249
Table 17-1.	MAH Reporting Requirements	283

Section III: Medical Devices

Chapter 18:	Medical Device Premarket Requirements	289
	<i>Updated by Gert Bos, MSc, PhD, FRAPS</i>	

Chapter 19:	Technical and Regulatory Requirements.....	311
	<i>Updated by Robin Stephens and Yuanyuan Yu</i>	
Chapter 20:	Medical Device Quality Management Systems	321
	<i>Updated by Gert Bos, MSc, PhD, FRAPS</i>	
Chapter 21:	In Vitro Diagnostic Medical Devices.....	333
	<i>Updated by Gert Bos, MSc, PhD, FRAPS and Jocelyn Jennings, MS, RAC</i>	
Chapter 22:	Active Implantable Medical Devices.....	355
	<i>Updated by Gert Bos, MSc, PhD, FRAPS</i>	
Chapter 23:	Software	367
	<i>Updated by Raajdeep Venkatesan, MS, RAC</i>	
Chapter 24:	Postmarket Requirements.....	379
	<i>Updated by Pei-Ting S. Chou, PCQI, RAC</i>	

Figures

Figure 18-1.	Decision Tree for Noninvasive Device Classification	303
Figure 18-2.	Decision Trees for Invasive Device Classification.....	304
Figure 18-3.	Decision Tree 2 for Invasive Devices.....	305
Figure 18-4.	Decision Tree 1 for Active Device Classification.....	306
Figure 18-5.	Decision Tree 2 for Active Device Classification.....	307
Figure 18-6.	Decision Tree for Device Classification With Additional Rules	308
Figure 19-1.	GHTF Submission Guidance for Class A or B (Lower-Risk) Devices and Class C or D (Critical) Devices	313
Figure 19-2.	Postmarket Use of the STED.....	314
Figure 20-1.	Process Flow of Interrelated QMS Processes	322
Figure 20-2.	PDCA Methodology	323
Figure 20-3.	Requirements Clauses in ISO 13485:2016.....	324
Figure 20-4.	Design and Development Control Steps.....	325
Figure 20-5.	Influence of Design Controls on the Design Process	326
Figure 20-6.	Process Validation Decision Tree.....	328
Figure 20-7.	Key Activities for Supplier Control.....	329
Figure 21-1.	Regulatory Requirements Related to the Device Risk Class	335
Figure 23-1.	EU MDR Decision Tree	370

Tables

Table 18-1.	Class A Device	294
Table 18-2.	Class B Device	295
Table 18-3.	Class C Device	296
Table 18-4.	Class D Device.....	297
Table 18-5.	Noninvasive Devices.....	298
Table 18-6.	Invasive Devices	299
Table 18-7.	Active Devices.....	301

Table 18-8.	Additional Rules.....	302
Table 21-1.	General GHTF Classification System for IVD Medical Devices.....	335
Table 21-2.	Classification Rules for IVDs.....	336
Table 21-3.	Classification Rules for IVDs.....	337
Table 21-4.	Class A Device.....	338
Table 21-5.	Class B Device.....	339
Table 21-6.	Class C Device.....	340
Table 21-7.	Australian Classification Scheme.....	350
Table 21-8.	Conformity Assessment Stages.....	351
Table 21-9.	Rule 9 Special Classification.....	352
Table 23-1.	Examples of Software Types and Their EU Qualification as General Medical Devices.....	375

Section IV: Biologics

Chapter 25:	High-Risk Products: Products Derived from Biotechnology.....	391
	<i>Updated by Jocelyn Jennings, MS, RAC and Angela L. Nelson, MBA, RAC</i>	
Chapter 26:	Biosimilars: Basics and Recent Developments.....	411
	<i>Updated by Pallavi Trivedi, MPH, RAC</i>	
Chapter 27:	Vaccines.....	457
	<i>Updated by Nicole Beard, MSc, PhD</i>	

Figures

Figure 26-1.	Influence of Stakeholders as Drives of Biosimilars.....	415
Figure 26-2.	Standalone vs. Abbreviated Development Programs.....	432
Figure 26-3.	Regulation in Latin America.....	451
Figure 27-1.	OCABR Decision Flowchart (Extracted from EU Administrative Procedure for Official Control Authority Batch Release—Human Vaccine and Blood Derived Medicinal Products).....	467
Figure 27-2.	Process of Influenza Vaccine Virus Selection and Development.....	469
Figure 27-3.	Standard Evaluation Process Compared With Rolling Review of COVID-19 Vaccines.....	471

Tables

Table 26-1.	Terminology Used in Regulatory Guidelines.....	413
Table 26-2.	WHO Written Procedures Providing Guidance on Evaluation of SBPs.....	416
Table 26-3.	Advantages and Disadvantages of Equivalence/Noninferiority Designs for SBPs.....	417
Table 26-4.	EMA Biosimilar Marketing Approvals via the Centralised Procedure.....	419
Table 26-5.	Biosimilars Recommended for Granting Upon Positive Opinion Adopted by CHPM.....	424
Table 26-6.	EU Guidelines for Biosimilars.....	425
Table 26-7.	Typical Biosimilar Product Marketing Application Dossiers and Data Requirement for Approval in the EU.....	427
Table 26-8.	Types of Formal FDA Meetings for Biosimilar Applications.....	431
Table 26-9.	Typical Dossier and Data Requirements for US Biosimilar Applications.....	434
Table 26-10.	PMDA-Approved Biosimilars as of November 2020.....	438
Table 26-11.	Typical Dossier and Data Requirements for Biosimilar Applications in Japan.....	440
Table 26-12.	Typical Application Dossier and Data Requirements for Biosimilar Marketing Applications.....	441

Table 26-13.	Similar Biologics Approved and Marketed in India	443
Table 26-14.	Typical Application Dossier and Data Requirement for Biosimilar Marketing Applications and Approvals in China	446
Table 26-15.	MFDS-Approved Biosimilars	447
Table 26-16.	Typical Application Dossier and Data Requirements for Biosimilar Marketing Applications and Approvals in Korea	448
Table 26-17.	Australia and New Zealand	450
Table 26-18.	Typical Application Dossier and Data Requirements for Biosimilar Marketing Applications and Approvals in Brazil	452

Section V: Other Product Classifications

Chapter 28:	Products Manufactured from Human Blood and Plasma	477
	<i>Updated by Indraneel Dasari, RAC</i>	
Chapter 29:	Principles of Rare Diseases and Orphan Products Development	507
	<i>Updated by Todd J. Banks, PharmD, RPh, Ken Bonnell, MS, MBA, and Phu Bo Chung, JD, MS, RAC</i>	
Chapter 30:	Combination Products	523
	<i>Updated by Deanna Hughes, MS, RAC and Beat U. Steffen, MSc, MBA</i>	
Chapter 31:	Regulatory Considerations for Cell-Based Medicinal Products	541
	<i>By Indraneel Dasari, RAC</i>	
Chapter 32:	Food Supplements and Food for Special Medical Purposes	561
	<i>Updated by Manfred Ruthsatz, PhD, RAC, FRAPS</i>	
Chapter 33:	Botanical Drug Products and Traditional Medicine	575
	<i>Updated by Robert Falcone, PhD</i>	
Chapter 34:	Global Pediatric Drug Development	597
	<i>By Lynne Georgopoulos, RN, MSHS, RAC and Azzurra Ravizza, MSc</i>	
Chapter 35:	Cosmetic Products	629
	<i>By Nicole Beard, MSc, PhD</i>	
Chapter 36:	Veterinary Medicinal Products	639
	<i>Updated by Theo Kanellos, DVM, MSc, PhD</i>	

Figures

Figure 28-1.	Convalescent Plasma Collection Workflow	483
Figure 28-2.	Overview of Blood Product Manufacturing Process	484
Figure 28-3.	Approaches to be Employed During Blood Product Processing	489
Figure 31-1.	Cell Therapy Product Sources and ATMP Manufacturing Process Overview	543
Figure 31-2.	Indications of Advanced Therapy Trials	544
Figure 31-3.	Summary Schematic of DC Monocyte-Based Therapy for COVID-19 Treatment	547

Figure 31-4.	ATMP Process Development Framework.....	547
Figure 31-5.	Overview of ATMP Approval Centers in the US, EU, and Japan.....	550
Figure 31-6.	Challenges Facing Industry and Regulators	559
Figure 33-1.	US Regulatory Pathway for Marketing Botanical Products	582
Figure 33-2.	Information Needed in a Botanical Drug Product IND	587
Figure 34-1.	Overview of the iPSP Process	607
Figure 34-2.	Phases in PIPs.....	612
Figure 34-3.	Assessment Pathways for UK-PIPs.....	615
Figure 34-4.	Assessment Pathways for UK-PIP Modifications.....	617
Figure 36-1.	VICH Steering Committee and Expert Working Groups.....	645
Figure 36-2.	Information Flow in the Pharmacovigilance System	652

Tables

Table 28-1.	Overview of Products Manufactured From Blood and Their Clinical Significance.....	479
Table 28-2.	Overview of Blood Product Approvals Obtained in the US	481
Table 28-3.	Dosing of Convalescent Plasma During the Coronavirus Epidemic.....	485
Table 28-4.	Evidence of Infection Transmission by Human Blood.....	487
Table 28-5.	Potential Risks Identified for Manufacturing Process Steps.....	488
Table 29-1.	Global Themes Associated With Rare Disease Development Programs.....	509
Table 29-2.	FDA Expedited Programs for Serious Conditions.....	512
Table 29-3.	Overview of Orphan Drug Framework.....	513
Table 29-4.	EU and US Financial Implications of Orphan Drug Pricing and Reimbursement.....	514
Table 30-1.	Examples of FDA-Approved Combination Products	526
Table 30-2.	Combination Product Categories.....	527
Table 30-3.	Applicable Articles When the Medicinal Product is Ancillary	534
Table 30-4.	Applicable Articles for Devices to Administer Medicinal Products.....	536
Table 31-1.	Approved ATMPs in the US, EU, and Japan	545
Table 31-2.	Doses of Medical Products Comprising Human Cells, Genes, and Tissues	546
Table 31-3.	Summary of Risk Factors Associated with Transmission of COVID-19 During Manufacturing of ATMPs	548
Table 31-4.	Proposed Risk Classification for ATMPs with Respect to COVID-19	548
Table 31-5.	Overview of Applicable Regulatory Guidelines in the US, EU, and Japan.....	549
Table 31-6.	EU Regulatory Scenarios	551
Table 31-7.	US Regulatory Scenarios.....	553
Table 31-8.	Overview of Applicable US Regulatory Guidelines	554
Table 31-9.	Overview of Applicable EU Regulatory Guidelines.....	555
Table 31-10.	Overview of Applicable Regulatory Guidelines in Japan	557
Table 33-1.	Traditional Herbal or Botanical Product Regulations in Selected Countries	579
Table 33-2.	Direct-to-OTC Criteria for BDPs With Only Non-US Experience	585
Table 33-3.	Strategic Considerations for Developing a BDP for US Approval	588
Table 33-4.	Comparison of BDPs and Conventional Drugs.....	589
Table 34-1.	FDA Pediatric Age Categories for Labeling of Drugs and Biologics.....	602
Table 34-2.	Timeline of Key Pediatric Drug Development Initiatives, Guidances, and Legislative Actions Undertaken in the US	603
Table 34-3.	Overview of BPCA and PREA.....	605
Table 34-4.	Outline of the initial Pediatric Study Plan (iPSP).....	608

Table 34-5.	Timeline of Key Pediatric Initiatives Undertaken in the EU	609
Table 34-6.	Pediatric Regulation-Key Requirements and Incentives	610
Table 34-7.	Overview of Information Required in a PIP	614

■ Appendices

Regulations Across Chapters—Comparative Matrix	657
Abbreviations and Acronyms	693
Glossary of Terms.....	705
Index.....	713