

Contents

1	The Aims and Structure of Regulations	1
1.1	Introduction	1
1.2	Purpose and Principles of Regulation	1
1.3	The Legal Framework for Regulation	3
1.3.1	National Legislative Process	3
1.3.2	EU Legislative Process	4
1.3.3	Working with Legal Texts	6
1.3.4	Guidance Documents	7
1.3.5	Pharmacopoeia	7
1.4	Basic Legislation	7
1.4.1	EU Legislation	7
1.4.2	US Legislation	12
1.5	Scope of the Legislation	15
1.6	Chapter Review	20
1.7	Further Reading	21
2	Regulatory Strategy	23
2.1	Chapter Introduction	23
2.2	Basic Regulatory Strategy	23
2.2.1	Product Development	23
2.2.2	Product Manufacture	23
2.2.3	Market Vigilance	24
2.3	Quality Assurance Systems	25
2.3.1	Personnel	25
2.3.2	Documentation	25
2.3.3	Facilities and Equipment	26
2.3.4	Corrective and Preventative Action	27
2.4	Validation	27
2.5	Regulatory Bodies	29

2.5.1	European Commission	29
2.5.2	The EMA	30
2.5.3	National Competent Authorities	32
2.5.4	Notified Bodies	34
2.5.5	The FDA	35
2.5.6	US Department of Agriculture (USDA)	39
2.5.7	Pharmacopoeia Authorities	39
2.6	International Harmonisation Bodies	40
2.7	International Council for Harmonisation of Technical Requirements for Pharmaceuticals for Human Use	41
2.7.1	VICH	43
2.7.2	The International Medical Device Regulators Forum (IMDRF)	43
2.8	Pharmaceutical Inspection Cooperation Scheme (PICS)	44
2.9	The World Health Organisation (WHO)	45
2.10	Chapter Review	45
2.11	Further Reading	46

3 Drug Discovery, Classification and Early Stage Development 47

3.1	Chapter Introduction	47
3.2	Drug Categorisation	47
3.2.1	Prescription Status	47
3.2.2	Physical Properties	48
3.2.3	Mode of Action	48
3.2.4	Therapeutic Use	49
3.3	Drug Discovery	51
3.3.1	Target Discovery and Validation	52
3.3.2	Lead Discovery, Validation and Optimisation	57
3.4	Drug Development	58
3.4.1	Manufacture and Control	59
3.5	Drug Delivery	59
3.5.1	Location	60
3.5.2	Drug Characteristics	60
3.5.3	Speed and Duration of Therapeutic Effect	62
3.5.4	Stability	63
3.6	Chapter Review	63
3.7	Further Reading	63

4 Non-clinical Studies 65

4.1	Chapter Introduction	65
4.2	Non-clinical Study Objectives and Timing	65
4.3	Pharmacological Studies	69

4.3.1	Pharmacodynamic Studies	70
4.3.2	Pharmacokinetic/Toxicokinetic Studies	72
4.4	Bioavailability and Bioequivalence	73
4.5	Toxicology Studies	74
4.5.1	Toxicity Studies	74
4.5.2	Genotoxicity Studies	75
4.5.3	Carcinogenicity Studies	76
4.5.4	Reproductive Toxicology Studies	76
4.6	Chemistry, Manufacturing and Control Development (CMC)	77
4.7	Quality by Design (QbD)	77
4.8	Quality of Biotech Products	78
4.8.1	Stability Studies	78
4.9	Good Laboratory Practice (GLP)	78
4.10	Chapter Review	80
4.11	Further Reading	83
5	Clinical Trials	85
5.1	Chapter Introduction	85
5.2	Clinical Trials	85
5.2.1	Phase I Trials	86
5.2.2	Phase II Trials	86
5.2.3	Phase III Trials	87
5.3	Clinical Trial Design	88
5.4	Good Clinical Practice	90
5.5	Clinical Trials in the EU	90
5.5.1	Sponsor	93
5.5.2	Investigator's Brochure (IB)	93
5.5.3	Investigator	94
5.5.4	Trial Protocol	94
5.5.5	Investigational Medicinal Product Dossier (IMPD)	94
5.5.6	Informed Consent	94
5.5.7	Manufacture of Investigational Medicinal Product	95
5.5.8	Clinical Trial Authorisation	95
5.5.9	Independent Ethics Committee Opinion	96
5.5.10	Amendments to Clinical Trials	97
5.5.11	Case Report Forms (CRFs)	97
5.5.12	Adverse Event Reporting	97
5.5.13	Annual Safety Report	98
5.5.14	Monitoring of Trials	98
5.5.15	End of Trial	98
5.5.16	Trial Master File	98
5.6	Clinical Trials in the US	100

5.6.1	Investigational New Drug Application (IND)	100
5.6.2	Institutional Review Board (IRB)	103
5.6.3	Communication with the FDA	104
5.6.4	Labelling of Investigational Drugs	105
5.6.5	Registry of Clinical Trial Information	105
5.7	Chapter Review	105
5.8	Further Reading	106
6	Marketing Authorisation	109
6.1	Chapter Introduction	109
6.2	The Application Dossier	109
6.3	CTD	110
6.3.1	Module Structure	112
6.3.2	Module 3 – Quality	113
6.3.3	Drug Master Files	116
6.3.4	Module 4 – Non-clinical Study Reports	116
6.3.5	Module 5 – Clinical Study Reports	116
6.3.6	Module 2 – Summaries	118
6.3.7	Module I – Region Specific	120
6.3.8	Module 1 – EU	121
6.3.9	Module 1 – US	123
6.4	Submission and Review Process in the EU	127
6.4.1	Union Authorisation	128
6.4.2	Scientific Evaluation Process	129
6.4.3	Decision Making Process	130
6.4.4	National Authorisations	132
6.4.5	Decentralised Procedure	132
6.4.6	Mutual Recognition Procedure	134
6.4.7	Plasma Master Files and Vaccine Antigen Master Files	134
6.5	Submission and Review Process in the US	134
6.6	Chapter Review	138
6.7	Further Reading	138
7	Authorisation of Veterinary Medicines	139
7.1	Chapter Introduction	139
7.2	Overview of Development Process for Veterinary Medicines	139
7.2.1	Pre-clinical Studies	140
7.2.2	Clinical Trials	141
7.2.3	Good Clinical Practices	141
7.3	Authorisation of Clinical Trials in the EU	145
7.4	Authorisation of Clinical Trials in the US	146

7.5	Maximum Residue Limits (MRLs)	147
7.6	Authorisation of Veterinary Medicines in the EU	149
7.6.1	Applications to Establish MRLs	149
7.6.2	Review of Applications and Establishment of MRLs	152
7.6.3	Marketing Authorisations	156
7.6.4	Presentation of the Dossier	156
7.7	Approval of Veterinary Medicines in the US	158
7.7.1	New Animal Drug Application (NADA)	158
7.7.2	Approval of Veterinary Biological Products	163
7.8	Chapter Review	164
7.9	Further Reading	164
8	Variations to the Drug Authorisation Process	165
8.1	Chapter Introduction	165
8.2	Provisions in Support of Special Drug Applications	165
8.2.1	Orphan Drugs	165
8.2.2	Paediatric Applications	167
8.3	Accelerated Access to New Drug Therapies	170
8.3.1	EMA Accelerated Review and Conditional Marketing Routes	170
8.3.2	EU Compassionate Use	171
8.3.3	Expedited Pathways in the US	171
8.3.4	Expanded Access and Emergency Use Authorization (EUA)	174
8.4	Approval of New Drugs When Human Efficacy Studies Are Not Ethical or Feasible	175
8.5	Animal Drugs for Minor Use and Minor Species	176
8.5.1	Conditional Approval	176
8.5.2	Indexing	176
8.5.3	Designation	176
8.6	Special Provisions to Facilitate Access to Drugs for Animal Treatment in the EU	177
8.7	Changes to an Authorised Drug	177
8.8	EU System for Processing Changes	177
8.8.1	Extension Applications	178
8.8.2	Major Variation (Type II)	178
8.8.3	Minor Variation (Type IA or IB)	179
8.9	Processing Changes in the US	179
8.9.1	Manufacturing Change Supplements	180
8.9.2	Major Changes	180
8.9.3	Moderate Changes	180
8.9.4	Minor Changes	181
8.10	Authorisation of Generic Drugs	181

8.10.1	EU Regulations	181
8.10.2	US Regulations	182
8.11	Biosimilars	183
8.11.1	EU Regulations	184
8.11.2	US Regulations	185
8.12	Reference Drug Exclusivity	189
8.13	Other Authorisation Procedures	191
8.13.1	Well-Established Medical Use Products	191
8.13.2	Combination Products	191
8.13.3	Homeopathic Medicines	192
8.13.4	Traditional Herbal Medicines	192
8.13.5	US Regulation of OTC Drugs	193
8.14	Chapter Review	193
8.15	Further Reading	194
9	Medical Devices	195
9.1	Chapter Introduction	195
9.2	Regulatory Strategy for Medical Devices in the EU	195
9.2.1	Use of Standards to Establish Conformity	200
9.2.2	Classification of Devices	201
9.3	Regulatory Strategy for Medical Devices in the US	210
9.3.1	Classification of Devices	210
9.3.1.1	Class I	211
9.3.1.2	Class II	211
9.3.1.3	Class III	211
9.3.2	Classification of New Devices	212
9.4	Development of Devices	212
9.4.1	Design Controls	213
9.4.2	Design and Development Planning	214
9.4.3	Design Input	214
9.4.4	Design Output	216
9.4.5	Design Verification and Design Validation	216
9.4.6	Design Review	217
9.4.7	Risk Analysis	218
9.4.8	Design Changes	218
9.5	Chapter Review	218
9.6	Further Reading	219
10	Authorisation of Medical Devices	221
10.1	Chapter Introduction	221
10.2	Evaluation of Medical Devices in Europe	221
10.2.1	Clinical Evaluation	221

10.2.2	Clinical Investigations	222
10.2.3	Performance Evaluation of IVDs	225
10.2.4	Performance Studies of IVDs	225
10.3	Evaluation of Medical Devices in the US	226
10.3.1	Exempted Investigations	227
10.3.2	Abbreviated Requirement Investigations	227
10.3.3	IDE Investigations	227
10.3.4	Labelling of Devices for Investigational Use	229
10.4	Placing of Devices on the Market in the EU	230
10.4.1	Designation of Notified Bodies	230
10.4.2	Conformity Assessment Procedures	232
10.4.2.1	Conformity Assessment Based on a Quality Management System and Assessment of Technical Documentation	233
10.4.2.2	EU Type-Examination	235
10.4.2.3	Production Quality Assurance	235
10.4.2.4	EU Verification	235
10.4.2.5	EU (Self) Declaration of Conformity	236
10.4.3	Technical Documentation	236
10.4.4	Labelling Requirements	236
10.4.5	Registration of Economic Operators and Devices	238
10.5	Placing of Devices on the Market in the US	238
10.5.1	510(k) Pre-market Notification	239
10.5.2	Traditional 510(k)	239
10.5.3	Abbreviated 510(k)	239
10.5.4	Special 510(k)	239
10.5.5	<i>De Novo</i> 510(k)	240
10.5.6	Notification and Review Procedures	240
10.5.7	Pre-market Approval (PMA)	240
10.5.8	Changes to a PMA-Approved Device	241
10.5.9	Humanitarian Use Devices (HUDs)	243
10.5.10	Labelling of Devices	243
10.6	Chapter Review	243
10.7	Further Reading	244
11	Good Manufacturing Practice (GMP)	245
11.1	Chapter Introduction	245
11.2	Drug GMP Regulations and Guidance	245
11.3	Essential GMP Requirements	248
11.3.1	Quality Assurance System	248
11.3.2	Personnel	248
11.3.3	Premises and Equipment	249
11.3.4	Documentation	257

11.3.5	Production	257
11.3.6	Quality Control	258
11.3.7	Work Contracted Out	259
11.3.8	Complaints, Product Recall and Emergency Un-blinding	259
11.3.9	Self-inspection	259
11.4	Validation	260
11.4.1	Facilities and Equipment Validation	261
11.4.2	Process Validation	262
11.4.3	Computer Systems Validation	262
11.4.4	Methods Validation	265
11.4.5	Cleaning Validation	266
11.4.6	Validation of Sterilisation Procedures	267
11.4.7	Water Purification System Validation	268
11.5	GMP Requirements for Devices	268
11.6	Chapter Review	273
11.7	Further Reading	273
12	Oversight and Vigilance	275
12.1	Chapter Introduction	275
12.2	Registration of Manufacturers and Other Entities	275
12.3	Manufacturing Authorisation of Medicinal Products in the EU	275
12.3.1	Wholesale Distribution of Medicinal Products	276
12.3.2	Registration of Economic Operators for Medical Devices on the EU market	278
12.4	Registration of Producers of Drugs and Devices in the US	278
12.5	Additional Licensing Requirements	279
12.6	Inspections	279
12.6.1	Inspection Techniques	280
12.6.2	Audit Findings and Consequences	286
12.7	Market Vigilance and Oversight of Drugs	289
12.7.1	Pharmacovigilance in the EU	289
12.7.2	Pharmacovigilance Risk Assessment Committee (PRAC) and the EudraVigilance System	290
12.7.3	Pharmacovigilance and Marketing Authorisation Holders	293
12.7.4	Pharmacovigilance Inspections and Audits	294
12.7.5	Renewal of Marketing Authorisations	295
12.7.6	Pharmacovigilance and Reporting in the US	295
12.7.7	Periodic Reports	296
12.8	Advertising and Promotion	297

- 12.9 Market Vigilance and Oversight of Devices 298
- 12.9.1 Market Vigilance in the EU 298
- 12.9.2 Medical Device Vigilance in the US 299
- 12.9.3 Medical Device Reporting 299
- 12.9.4 Reports of Corrections and Removals 300
- 12.9.5 Post-market Surveillance 302
- 12.10 Chapter Review 303
- 12.11 Further Reading 303

- Index 305**