### **CHAPTER 10 - REFERENCE MATERIALS**

Subchapter 1000 - LAW, REGULATION AND					
GUIDANCE Pg 441					
Subchapter 1010 - SOURCES OF INFORMATION Pg 442					
1011 - INVESTIGATOR TRAINING AND					
CERTIFICATION					
1013 - INTERNET AND INTRANET					
1014 - FDA ON DISK Pg 442					
1015 - ELECTRONIC-FAX INFORMATION SYSTEMS . Pg 442					
1016 - FDA/ORA MANUALS AND REPORTS Pg 443 1017 - FORMS AND OTHER PUBLICATIONS Pg 443					
1018 - REGULATORY REFERENCES AND THE					
GENERAL PUBLIC Pg 444					
1019 - ACRONYMS Pg 444					
Subchapter 1020 - SPECIAL REGULATORY BY PRODUCT					
<u>CATEGORY</u> Pg 445					
1021 - FOOD AND COLOR ADDITIVES Pg 445					
1021.01 - Food Additives Status List					
1021.02 - Color Additives Status List 1022 - FOOD					
1022.01 - Food - General					
1022.02 - Hazard Analysis Critical Control					
Points (HACCP)					
1022.03 - Bioengineered Foods 1022.04 - Seafood					
1022.05 - Food Inspection Guides					
1022.06 - CFSAN Databases					
1023 - DIETARY SUPPLEMENTS Pg 447					
1024 - COSMETICS					
1024.01 - Cosmetic References 1024.02 - Cosmetic Inspection Guides					
1025 - DEVICES					
1025.01 - CDRH Regulatory References					
1025.02 - Device Inspection Guides					
1025.03 - CDRH Databases 1026 - BIOLOGICS					
1026.01 - CBER Regulatory References					
1026.02 - Blood and Blood Products Inspection					
1026.03 - Other Biologics Inspection Guides					
1026.04 - CBER Databases					
1027 - DRUGS					
1027.02 - Human Drug Inspection Guides					
1027.03 - Veterinary Regulatory References					
1027.04 - Veterinary Drug Inspection Guides					
1027.05 - CDER and CVM Databases 1028 - BIORESEARCH MONITORING PROGRAM Pg 454					
1028 - BIORESEARCH MONITORING PROGRAM Pg 454					
References					
1028.02 - Bioresearch Inspection Guides					
1029 - MISCELLANEOUS					
1029.01 - Computer References					
1029.02 - Computer Inspection Guides 1029.03 - Combination Products					
1029.04 - Health Fraud References					
1029.05 - International Inspection Guides					
Subshanter 1020 CED/S					
<u>Subchapter 1030 - CFR'S</u>					
1032 - CFR SECTIONS AFFECTING OTC					

1032.01 - Alphabetical Listing of Sections Affecting
OTC Drugs

1032.02 - OTC Final Monographs: Alphabetical Listing

# SUBCHAPTER 1000 - LAW, REGULATION AND GUIDANCE

This chapter will help you to locate regulatory references and FDA staff.

The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (the Bioterrorism Act), the Medical Device User Fee and Modernization Act of 2002 (MDUFMA), the FDA Modernization Act of 1997, (FDAMA), the International Conference on Harmonization (ICH), the Mutual Recognition Agreement (MRA), national emergencies and initiatives, and other forces continue to impact FDA inspectional operations as changes in law, regulation, guidance and internal procedures issue. As ICH members (Japan, U.S. and European Union) reach consensus agreements, ICH guidelines are adopted by all three governments. In the United States, they may replace outstanding FDA guidance in the medical device, human and animal drug areas. Unless exempted, the Bioterrorism Act and implementing regulations require most domestic food facilities and foreign food facilities who export to the U.S. to register as of December 12, 2003; FDA began accepting registrations on October 16, 2003. The Bioterrorism Act requires that FDA receive prior notice of food imported into the United States, beginning on December 12, 2003. The 2002 MDUFMA authorizes FDA to charge user fees for medical device premarket review; it allows third party medical device inspections, sets out new regulatory requirements for single-use devices, and directs FDA to establish the Office of Combination Products. FDA drug GMP initiative and Process Analytical Technology (PAT) efforts are underway.

In conducting inspections and investigations according to changing policies, in order to be effective, FDA regulators must understand the difference between regulatory requirements and guidance.

Laws or statutes, enacted by Congress, and regulations or rules, promulgated by Federal agencies, contain regulatory requirements.

FDA's guidance documents, on the other hand, have a different legal status and serve purposes different from laws and regulations. The purposes of guidance documents are to:

- 1. Provide assistance to the regulated industry by clarifying requirements that have been imposed by Congress or issued in regulations by FDA, and by explaining how industry may comply with those statutory and regulatory requirements, and
- 2. Provide specific review and enforcement approaches to help ensure that FDA's employees implement the agency's mandate in an effective, fair, and consistent manner.

The term "guidance documents" includes documents prepared for FDA staff, applicants/sponsors, and the public that: (1) relate to the processing, content, and evaluation/approval of submissions; (2) relate to the design, production, manufacturing, and testing of regulated products; (3) describe the agency's policy and regulatory approach to an issue; or (4) establish inspection and enforcement policies and procedures.

Guidance documents do not include documents relating to internal FDA procedures, agency reports, general information documents provided to consumers, speeches, journal articles and editorials, media interviews, press materials, warning letters, or other communications directed to individual persons or firms. FDA procedures issued for staff to follow, such as the IOM, are internal procedures intended to direct your activities and you are to follow them.

Guidance documents for industry do not establish legally enforceable rights or responsibilities and are not legally binding on the public or the agency. Rather, they explain how the agency believes the statutes and regulations apply to certain regulated activities. For a more detailed explanation of the background to the development, issuance and use of guidance documents see the preamble to the February 27, 1997 Federal Register Volume 62 Number 39. To access 21CFR115 Good Guidance Practices, see http://www.access.gpo.gov/nara/cfr/waisidx 01/21cfrv1 01 Also see <a href="http://www.fda.gov/cdrh/ohip/guid-">http://www.fda.gov/cdrh/ohip/guid-</a> ance/1323.pdf to access the CDRH Manual for the Good Guidance Practices (GGP) Regulation - Final Guidance for FDA Staff (2/01). For a comprehensive list of FDA current guidance documents, see http://www.fda.gov/opacom/ morechoices/industry/guidedc.htm

The Federal Register is the official daily publication for rules, proposed rules, and Notices of federal agencies and organizations as well as Executive Orders and other Presidential documents. The Code of Federal Regulations (CFR) is a codification of the general and permanent rules published in the Federal Register by the Executive Departments and agencies of the Federal Government. Most regulations enforced by FDA are located in Title 21 of the CFR. For a listing of all titles in the U.S Code, see <a href="http://www4.law.cornell.edu/uscode/#TITLES">http://www4.law.cornell.edu/uscode/#TITLES</a>.

# SUBCHAPTER 1010 - SOURCES OF INFORMATION

# 1011 - INVESTIGATOR TRAINING AND CERTIFICATION

ORA's Investigator certification program provides a focused training plan for the ongoing professional development of agency investigators. The program is designed to address the specific needs of agency District Offices by providing a structured mechanism for investigators to maintain the required levels of competency.

Performance certification promotes uniformity in investigator training and experience. The program is designed to promote the efficient use of (ORA) training resources. Investigators who complete the program will be formally recognized as meeting the competencies required at the specific certification level achieved.

Additional information on ORA's Investigator Certification program, including procedure documents and forms for certification in specific commodity areas, is available on the ORA U . See <a href="http://web.ora.fda.gov/dhrd/Certification/certification.htm">http://web.ora.fda.gov/dhrd/Certification/certification.htm</a>.

In addition to managing the investigator certification program through ORAU, the Division of Human Resource Development (DHRD) (HFC-60) manages and coordinates with Regions and Districts, the ORA staff's overall ongoing professional development training through in person and web-based courses, broadcasts, and video conferences. For more information on available training on the ORAU see <a href="http://web.ora.fda.gov/dhrd/">http://web.ora.fda.gov/dhrd/</a>.

#### 1012 - CONTACTING FDA EMPLOYEES

Easily finding colleagues you need to contact can make your work life more productive. See IOM Chapter 2 the organization of FDA offices, including a directory of ORA field offices and program managers. The Office of Regulatory Affairs organizational directory (blue pages) is available in electronic format. See <a href="http://www.fda.gov/ora/inspect\_ref/iom/IOMORADIR.html">http://www.fda.gov/ora/inspect\_ref/iom/IOMORADIR.html</a>. At the end of the blue pages, find a listing of District program monitors. For FDA Center staff directories:

CFSAN - See

http://www.cfsan.fda.gov/~dms/srchbfd.html.

CBER - See <a href="http://www.fda.gov/cber/inside/org.htm">http://www.fda.gov/cber/inside/org.htm</a>

CDRH - See <a href="http://www.fda.gov/cdrh/organiz-info.html">http://www.fda.gov/cdrh/organiz-info.html</a>. For a list of resource staff by topic of specialization in the Division of Small Manufacturers, Consumer and International Affairs, see <a href="http://www.fda.gov/cdrh/dsma/dsmastaf.html#DSMICA">http://www.fda.gov/cdrh/dsma/dsmastaf.html#DSMICA</a> Staff

CVM - See <a href="http://www.fda.gov/cvm/aboutcvm/aboutcvm.">http://www.fda.gov/cvm/aboutcvm/aboutcvm/aboutcvm.</a>

CDER - See <a href="http://www.fda.gov/cder/directories/reference guide.htm">http://www.fda.gov/cder/directories/reference guide.htm</a>. For a list of resource staff by topic of specialization, in the CDER Division of Manufacturing and Product Quality, (HFD-320) see <a href="http://www.fda.gov/cder/dmpg/csotable.htm">http://www.fda.gov/cder/dmpg/csotable.htm</a>

To obtain contact information for an FDA employee in your e-mail directory, find the name, then click on "properties" for telephone number and office designation. If the telephone number listed is inaccurate for an FDA employee you wish to contact, call the FDA Personnel Locator at telephone number (301) 443-1544 for an update.

You may also search the Department of Health and Human Services electronic employee directory, which includes FDA and all other HHS staff. See <a href="http://directo-ry.psc.gov/employee.htm">http://directo-ry.psc.gov/employee.htm</a>. See IOM Chapter 3 for other Federal agency and State contact information, or to check the Directory of State and Local Officials on the FDA web site, see <a href="http://www.fda.gov/ora/fed\_state/directorytable.htm">http://www.fda.gov/ora/fed\_state/directorytable.htm</a>.

#### **1013 - INTERNET AND INTRANET**

The FDA Internet Web site at <a href="http://www.fda.gov">http://www.fda.gov</a> provides access to FDA references in electronic format: laws,

regulations, policy, guidance, correspondence, reports and other publications. From the FDA home page link to laws enforced by FDA and related statutes at <a href="https://www.fda.gov/opacom/laws">www.fda.gov/opacom/laws</a>. From there you can access the Code of Federal Regulations, the Federal Register, and FDA Manuals and Publications. Under the heading "FDA Manuals and Publications" is a link to a comprehensive list of current FDA guidance documents at <a href="http://www.fda.gov/opacom/morechoices/industry/guidedc.htm">http://www.fda.gov/opacom/morechoices/industry/guidedc.htm</a>.

Two features will facilitate your navigation of the FDA website, For the FDA "Website Index", see <a href="https://www.fda.gov/opacom/hpchoice.html">www.fda.gov/opacom/hpchoice.html</a>. To access the FDA "Website Map", see <a href="https://www.fda.gov/sitemap.html">www.fda.gov/sitemap.html</a>.

Subscribe to various FDA e-mail lists for updates on web postings. See <a href="https://www.fda.gov/emaillist.htm">www.fda.gov/emaillist.htm</a>.

To access FDA libraries see <a href="http://intranet.fda.gov/library/">http://intranet.fda.gov/library/</a>. To access the FDA intranet homepage see <a href="http://intranet.fda.gov/index.cfm?index=2">http://intranet.fda.gov/index.cfm?index=2</a>.

#### **1014 - FDA ON DISK**

The FDA Gold Disk is an electronic source of regulatory references maintained on CD-ROM by the Office of Enforcement, Division of Compliance Information and Quality Assurance (HFC-240) Steven Kendall (510) 337-6840. To order a Gold Disk, contact San Francisco District, Gwen Wong, (510) 337-6890. FDA personnel who do not have access to an FDA network server can use the Gold Disk in an off-line mode. It may also be available on your local district server. Check with your computer support personnel. The FDA gold disk is a convenient source of FDA regulatory references in electronic format when Internet access is not available. It contains, for example, the Federal Food Drug and Cosmetic Act, Title 21 CFR, Compliance Policy Guides, Enforcement Reports, Talk Papers, Import Alerts, Investigations Operations Manual, Regulatory Procedures Manual, selected Compliance Programs, the Food Code, and listings of approved drug products. The Gold Disk is not releasable under FOI and is not available to the public. It is for FDA use only. The subset of the Gold Disk available to state and local agencies (but not releasable under FOI) is the Eureka Disk. To order this, contact Paul Raynes in the ORA Division of Federal-State Relations (DFSR) at (301) 827-2910.

### 1015 - ELECTRONIC-FAX INFORMATION SYSTEMS

The FDA Medical Devices fax information system issues documents twenty-four hours a day, seven days a week on request to (800) 899-0381. Follow the directions by the automated attendant to receive a faxed list of references and their order numbers. Next, request specific documents by number as indicated on the index.

Biologics, Human/Animal Drugs and Foods do not have fax information systems.

#### 1016 - FDA/ORA MANUALS AND REPORTS

ORA headquarters and the OC Office of Information

Resources Management support a change to electronic manuals, not paper manuals, because electronic manuals are easier to issue, revise and distribute. As part of the ORA Quality Management System, ORA HQ supports electronic manual dissemination through developing Intranet master lists or indices for directives used by ORA. See <a href="http://web.ora.fda.gov/qms/">http://web.ora.fda.gov/qms/</a> or contact Patricia Maroni-Benassi at (301) 827-0389 or <a href="mailto:pmaroney@ora.fda.gov">pmaroney@ora.fda.gov</a> for more information. During transition from paper to electronic manuals, a limited selection and number of paper manuals will be available as follows:

- Compliance Policy Guides (CPGs): Limited number of 2003 paper manuals available by contacting Lana Ogram at (301) 827-0393 or at dvasbind@ora.fda.gov;
- Compliance Program Guidance Manual (CPGM): No paper manuals;
- Data Codes Manual: No paper manuals; for electronic lists of program assignment codes and establishment type codes contact ORM/Division of Program Evaluation and Management
- 4. Enforcement Reports: No paper reports;
- Field Management Directives (FMDs) No paper manual:
- Guide to International Inspections and Travel For paper manuals contact ORA/DFI 301-827-5653;
- 7. Inspection Technical Guides No paper manuals;
- International Cooperative Agreements Manual No paper manuals;
- Investigations Operations Manual (IOM) Current edition paper manuals available by contacting Alan Gion, ORA/ORO/Division of Field Investigations at (301) 827-5649.
- Laboratory Procedures Manual (LPM) No paper manuals;
- Laboratory Information Bulletins (LIB) No paper copies
- Regulatory Procedures Manual (RPM) Limited number of 2002 paper manuals by contacting Office of Enforcement at 301-827-0386, Scott MacIntire;
- 13. Recalls and Safety Alerts No paper copies;
- 14. Staff Manual Guide: No paper manuals;
- State and Federal Cooperative Agreements: No paper copies.

#### 1017 - FORMS AND OTHER PUBLICATIONS

The FDA on line Public Forms Catalog contains a list of FDA forms and the information necessary to order them.

Order paper copies of FDA forms from the USDA Consolidated Forms and Publications Distribution Center, Beltsville Service Center at 6351 Ammendale Road in Beltsville, MD 20705. Phone or fax orders will not be accepted. Forms may be ordered electronically. To obtain a customer number necessary to order forms electronically, or for other questions concerning FDA forms, contact:

FDA/Office of the Commissioner/Office of Information Resources Management/Division of Information Services and Policy

Elizabeth Sands, Forms Management Officer, (HFA-250) 5600 Fishers Lane, Room 16B-26

Rockville, MD 20857 (301) 827-1480 FAX (301) 594-0060

Or e-mail to esands@oc.fda.gov.

The Department of Health and Human Services (DHHS) Program Support Center, 16071 Industrial Drive, Gaithersburg, MD 20877 also maintains a limited selection of FDA forms and publications. To access the PSC forms download site, see <a href="https://forms.psc.gov/">https://forms.psc.gov/</a>. To search their catalog, see <a href="https://propshop.psc.gov/shopping/form-spubs.asp#/">https://propshop.psc.gov/shopping/form-spubs.asp#/</a>. For questions, contact Danny Saum at PSC at (301) 443-7634.

The INTRANET FDA's Electronic Forms Catalog is another resource. Internal forms related to field operations are located at that site. For example, you can find seals, affidavits, Form FDA 482 Notice of Inspection, and many other forms on which FDA documents its activities related to investigations, inspections and sample collection and analysis. Forms are organized alphabetically as well as by form number.

# 1018 - REGULATORY REFERENCES AND THE GENERAL PUBLIC

The general public must make a request under the Freedom of Information Act (FOIA) in order to obtain certain FDA documents requiring redaction. See IOM 134 (Freedom of Information Act) and IOM 135 (internal Documents) for additional information on FOIA. For instructions to the public on how to file an FOIA request, see www.fda.gov/foi/foia2.htm.

Many FDA documents are available to the public without an FOIA request. To obtain forms, direct the public to the FDA Public Use Forms web page. The public can purchase paper editions of various agency manuals, such as the Food Code and Compliance Program Manuals if ordered by NTIS item number from the National Technical Information Service (NTIS). Instruct the person seeking a publication to first locate the NTIS item number by calling the NTIS sales department at 800-553-6847. The next step is to enter the NTIS item number in the search box at the NTIS website at <a href="https://www.ntis.gov">www.ntis.gov</a>, and follow directions on ordering the publication. For additional information on NTIS publications, direct the public to contact:

National Technical Information Service Technology Administration U.S. Department of Commerce Springfield, VA 22161

Springileid, VA 22161

Order Desk: (703) 605-6585

Fax: (703) 605-6900

The public may also obtain federal publications from the U.S. Government Bookstore on-line or on site. See <a href="http://bookstore.gpo.gov/locations/index.html">http://bookstore.gpo.gov/locations/index.html</a> for locations of on-site U.S. government bookstores.

The public may also obtain FDA documents from the CDRH automated FAX information service listed in section 1015 of Subchapter 1010. FDA references are also available to the public in electronic format from the FDA website. From the FDA homepage, link to special information for consumers, industry, health professionals, patients, state

and local officials. For example, direct industry to the FDA industry web page.

Those regulated by FDA may contact their ORA Regional Small Business Representative (SBR) for an explanation of how FDA requirements apply to specific circumstances. SBRs also locate relevant references, make referrals, conduct or participate in workshops and conferences, or make non-regulatory audits on request. See http://www.fda.gov/ora/fed\_state/Small\_Business/regional.htm for a list of SBRs and the regions they serve.

Direct industry inquiries in accordance with District policy either to appropriate District personnel, to the ORA Small Business Representative for your region, to an FDA industry assistance office or the Center Ombudsman, or to the Office of the Commissioner. In CDRH, the Division of Manufacturers, International and Consumer Affairs (DSMICA) staff specializes in industry assistance. For FDA drug manufacturing queries, a list of resource staff in the CDER Division of Manufacturing and Product Quality, (HFD-320) identifies each staff member by area of knowledge. Refer questions about post approval changes to the CDER post approval changes e-mail box at <a href="mailto:pace-accelerations-new-mailto:pace-accelerations-accelerations-new-mailto:pace-accelerations-acc

Refer consumer inquiries to the appropriate District Public Affairs Specialist.

Try to refer appropriately to make your government work more effectively for all concerned.

#### **1019 - ACRONYMS**

To access explanations for some of the hundreds of acronyms in FDA references, try the following:

- CDER Acronym list compiled by the CDER Division of Biometrics III
- 2. CVM Related Acronyms and Abbreviations
- CFSAN Abbreviations and Acronyms from the CFSAN Risk Analysis Working Group Report "Initiation and Conduct of All Major Risk Assessments within a Risk Analysis Framework" (3/02)
- Draft Listeria monocytogenes Risk Assessment report: Abbreviations and Acronyms
- ORA Glossary of Computerized System and Software Development Terminology
- 6. Fiscal Year 2001 Performance Plan, FY 2000 Final Performance Plan, and FY 1999 Performance Report Glossary of Acronyms

http://www.fda.gov/ope/FY01plan/glossary01.html

 Fiscal Year 2004 Annual Performance Plan, FY2003 Revised Performance Plan, FY 2002 Annual Performance Plan see Appendix F Glossary of Acronyms at <a href="http://www.fda.gov/ope/fy04plan/2004pp-mainpage.html">http://www.fda.gov/ope/fy04plan/2004pp-mainpage.html</a>

# SUBCHAPTER 1020 - SPECIAL REGULATORY BY PRODUCT CATEGORY

#### 1021 - FOOD AND COLOR ADDITIVES

#### 1021.01 - Food Additives Status List

The Food Additives Status List in the IOM Appendix A is a quick look up of a number of food additives and their use limitations as specified in regulations 21CFR 170-199 and 21 CFR 570-589 promulgated under the FD&C Act, under Sections 401 (Food Standards) 409 (Food Additives) and 512 (Animal Drugs). You may encounter additives which are not in the IOM Appendix A but are still acceptable because they are:

- 1. Obviously safe substances although not on the list of items generally recognized as safe (GRAS), and not published in the regulations;
- 2. Synthetic flavoring substances because of their indefinite status;
  - 3. Those pending administrative determination;
- 4. Substances granted prior sanction for specific use prior to enactment of the Food Additives Amendment;
- 5. Food contact substances (including secondary direct additives) that are the subject of an effective notification. For the inventory of effective notifications for food contact substances, see <a href="http://www.cfsan.fda.gov/~dms/opa-fcn.html">http://www.cfsan.fda.gov/~dms/opa-fcn.html</a>

In addition to the IOM Appendix A, there are several FDA additive databases available on the FDA website. The FDA has published the EAFUS (Everything Added to Food in the United States) database. This list of substances contains ingredients added directly to food that FDA has either approved as food additives or listed or affirmed as GRAS. Nevertheless, it contains only a partial list of all food ingredients that may in fact be lawfully added to food, because under federal law some ingredients may be added to food under a GRAS determination made independently from the FDA. The list contains many, but not all, of the substances subject to independent GRAS determinations. For information about the GRAS notification program, consult the Inventory of GRAS Notifications.

See also food additive publications available from the FDA/CFSAN/Office of Food Safety.

#### 1021.02 - Color Additives Status List

The Color Additives Status List in Appendix A provides the current status and use limitations of most colors likely to be found in food, drug, device, or cosmetic establishments. To access Color Additives for Medical Devices (11/95), see <a href="http://www.fda.gov/cdrh/ode/575.pdf">http://www.fda.gov/cdrh/ode/575.pdf</a>. To access the FDA Color Additives web page see <a href="http://www.cfsan.fda.gov/%7Edms/col-toc.html">http://www.cfsan.fda.gov/%7Edms/col-toc.html</a>.

#### 1022 - FOOD

For up to date references on food, food additive and cosmetic requirements and guidance, periodically check the

Center for Food Safety and Applied Nutrition's web site. See <a href="http://vm.cfsan.fda.gov/list.html">http://vm.cfsan.fda.gov/list.html</a>.

For food and cosmetic guidance documents, see <a href="http://www.cfsan.fda.gov/~dms/quidance.html">http://www.cfsan.fda.gov/~dms/quidance.html</a>.

#### 1022.01 - Food - General

- Action Levels for Poisonous or Deleterious Substances in Human Food and Animal FeedAction Levels for Poisonous or Deleterious Substances in Human Food and Animal Feed (Revised 8/00): Lists action levels for unavoidable poisonous or deleterious substances, which are established by the FDA to control levels of contaminants in human food and animal feed.
- 2. Allergens: CPG 555.250 FDA Statement of Policy on Labeling and Preventing Cross-Contact of Food Allergens (4/01)
- BSE: Guidance for Industry: The Sourcing and Processing of Gelatin to Reduce the Potential Risk Posed by Bovine Spongiform Encephalopathy (BSE) in FDA Regulated Products for Human Use (9/97)
- 4. Botanicals: Letter to Manufacturers Regarding Botanicals and Other Novel Ingredients in Conventional Foods (1/01)
- 5. Defect Action Levels (Revised 5/98) Lists levels of natural or unavoidable defects in foods that present no health hazards for humans
- 6. Filth in Food Sec. 555.600 Filth from Insects, Rodents, and Other Pests in Foods (CPG 7120.18) (12/02).
- 7. Food Code (Revised 2001): a compendium of model food safety guidelines for retail operations and institutions that is based on the latest science. The Food Code is used as a reference by the more than 3,000 state and local regulatory agencies that oversee food safety in restaurants, grocery stores, nursing homes, and other institutional and retail settings.
- Fruits and Vegetables: Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables; (10/98)
- Frozen Dessert Processing Guidelines (10/89) -Available from CFSAN/Office of Field Programs/ Division of Cooperative Programs/Milk Safety Branch (HFS-626), Bob Hennes at 301-436-2175.
- Health Claims: Guidance for Industry: Qualified Health Claims in Labeling of Conventional Foods and Dietary Supplements (12/02)
- 11. Labeling: Food Labeling Guide (6/99 update)
- Labeling: Food Labeling Questions and Answers Volume 1
- Labeling: Food Labeling Questions and Answers Volume 2
- 14. Labeling: NLEA Small Business Exemption Criteria
- 15. Pesticides: Glossary of Pesticide Chemicals (10/01) lists Title 40 CFR tolerances of pesticide chemicals in food and animal feed -
- Pesticides: Pesticide Residues in Food and Feed -Enforcement Criteria Sec. 575.100 (CPG7141.01) (Rev. 3/95)
- 17. Registration of Food Facilities

- Security: Guidance for Industry Food Producers, Processors, and Transporters: Food Security Preventive Measures Guidance (3/03)
- Security: Guidance for Industry Importers and Filers: Food Security Preventive Measures Guidance (3/03)
- Security and Safety: FDA publications on CFSAN Food Safety and Security web page

# 1022.02 - Hazard Analysis Critical Control Points (HACCP)

- Hazard Analysis and Critical Control Point (HACCP)
   Principles and Application Guidelines (8/97) See
   <a href="http://vm.cfsan.fda.gov/~comm/nacmcfp.html#exec-sum">http://vm.cfsan.fda.gov/~comm/nacmcfp.html#exec-sum</a>
- HACCP Overview CFSAN web page http://www.cfsan.fda.gov/~comm/haccpov.html
- Juice HACCP regulation Questions and Answers, (8/01) See <a href="http://www.cfsan.fda.gov/~comm/juicega.html">http://www.cfsan.fda.gov/~comm/juicega.html</a>
- Juice HACCP regulation Additional Questions and Answers (9/03)
- 5. Juice HACCP Regulator Training (9/02) See <a href="http://www.cfsan.fda.gov/~comm/juiceman.html">http://www.cfsan.fda.gov/~comm/juiceman.html</a>
- Juice Draft Guidance for Industry: Standardized Training Curriculum for Application of HACCP Principles to Juice Processing (6/03) See <a href="http://www.cfsan.fda.gov/~dms/juicgui5.html">http://www.cfsan.fda.gov/~dms/juicgui5.html</a>
- 7. Juice Guidance for Industry: Bulk Transport of Juice Concentrate and Certain Shelf Stable Juices (4/03)
- 8. Draft Guidance for Industry: Juice HACCP Hazards and Controls Guidances, First Edition (9/02) See <a href="http://www.cfsan.fda.gov/~dms/juicgui3.html">http://www.cfsan.fda.gov/~dms/juicgui3.html</a>
- Guidance for Industry: Exemptions from the Warning Label Requirements for Juice - Recommendations for Effectively Achieving a 5-Log pathogen Reduction (updated 10/02) See <a href="http://www.cfsan.fda.gov/~dms/juicqui6.html">http://www.cfsan.fda.gov/~dms/juicqui6.html</a>
- 10. Juice HACCP Small Entity Compliance Guide (4/03)
- 11. Juice HACCP CFSAN web page: for additional FDA juice HACCP publications, see <a href="http://www.cfsan.fda.gov/~comm/haccpjui.html#regulation">http://www.cfsan.fda.gov/~comm/haccpjui.html#regulation</a>
- 12. Seafood HACCP Guidance Fish and Fisheries Products Hazards and Controls Guidance, Third Edition, see http://www.cfsan.fda.gov/~comm/haccp4.html
- 13. Seafood HACCP Questions and Answers: HACCP Regulations for Fish and Fishery Products, See http://www.cfsan.fda.gov/~dms/ga2haccp.html
- 14. Seafood HACCP Transition Guidance (12/99) See <a href="http://www.cfsan.fda.gov/~comm/seaguide.html">http://www.cfsan.fda.gov/~comm/seaguide.html</a>
- 15. Seafood HACCP Refusal of Inspection or Access to HACCP Records Pertaining to Safe and Sanitary Processing of Fish and Fishery Products Guidance (7/01) See
  - http://www.cfsan.fda.gov/~comm/seaguid3.html
- Seafood HACCP Domestic Seafood HACCP report, See <a href="http://www.cfsan.fda.gov/~dms/sea3501a.html">http://www.cfsan.fda.gov/~dms/sea3501a.html</a>
- 17. Seafood HACCP CFSAN web page: See http://www.cfsan.fda.gov/~comm/haccpsea.html

18. Seafood Information and Resources: CFSAN web page <a href="http://www.cfsan.fda.gov/seafood1.html#haccp">http://www.cfsan.fda.gov/seafood1.html#haccp</a>

#### 1022.03 - Bioengineered Foods

- 1. Center for Food Safety and Applied Nutrition, Biotechnology Home Page, See http://vm.cfsan.fda.gov/~lrd/biotechm.html
- Voluntary Labeling Indicating Whether Foods Have or Have Not Been Developed Using Bioengineering -Draft Guidance (1/01) See http://vm.cfsan.fda.gov/~dms/biolabgu.html
- 3. Federal Register of 1/18/01, Premarket Notice Concerning Bioengineered Foods (1/01) See <a href="http://www.cfsan.fda.gov/~lrd/fr010118.html">http://www.cfsan.fda.gov/~lrd/fr010118.html</a>
- Federal Register of 5/29/92, Statement of Policy: Foods Derived From New Plant Varieties, pp. 22984-23005 (10/00) See http://vm.cfsan.fda.gov/~lrd/bio1992.html
- FDA's Policy for Foods Developed by Biotechnology;
   CFSAN Handout 1995 see
   <a href="http://www.cfsan.fda.gov/~lrd/biopolcy.html">http://www.cfsan.fda.gov/~lrd/biopolcy.html</a>
- 6. FDA's Statement of Policy: Foods Derived from New Plant Varieties Questions & Answers 6/92 see <a href="http://vm.cfsan.fda.gov/~lrd/bioga.html">http://vm.cfsan.fda.gov/~lrd/bioga.html</a>

#### 1022.04 - Seafood

- Seafood HACCP Guidance Fish and Fisheries Products Hazards and Controls Guidance, Third Edition (6/01) See <a href="http://www.cfsan.fda.gov/~comm/haccp4.html">http://www.cfsan.fda.gov/~comm/haccp4.html</a>
- Questions and Answers: HACCP Regulations for Fish and Fishery Products (1/99) See <a href="http://www.cfsan.fda.gov/~dms/qa2haccp.html">http://www.cfsan.fda.gov/~dms/qa2haccp.html</a>
- 3. Seafood HACCP Transition Guidance (12/99) see <a href="http://www.cfsan.fda.gov/~comm/seaguide.html">http://www.cfsan.fda.gov/~comm/seaguide.html</a>
- Seafood HACCP Refusal of Inspection or Access to HACCP Records Pertaining to Safe and Sanitary Processing of Fish and Fishery Products Guidance (7/01) See
  - http://www.cfsan.fda.gov/~comm/seaguid3.html
- Domestic Seafood HACCP Report, Revised Instructions FDA Form 3501 (2/01) see <a href="http://www.cfsan.fda.gov/~dms/sea3501a.html">http://www.cfsan.fda.gov/~dms/sea3501a.html</a>
- 6. For more information on seafood HACCP see <a href="http://www.cfsan.fda.gov/~comm/haccpsea.html">http://www.cfsan.fda.gov/~comm/haccpsea.html</a>
- 7. Guidance Document for Trace Elements in Seafood Arsenic, Cadmium, Chromium, Lead, Nickel (1993) see <a href="http://www.cfsan.fda.gov/~frf/guid-sf.html">http://www.cfsan.fda.gov/~frf/guid-sf.html</a>
- National Shellfish Sanitation Program Model Ordinance (11/00): represents the Agency's current thinking on the safe and sanitary control of the growing, processing, and shipping of molluscan shellfish for human consumption, see
  - http://vm.cfsan.fda.gov/~ear/nsspotoc.html
- 9. Interstate Certified Shellfish Shippers List, see <a href="http://vm.cfsan.fda.gov/~ear/shellfis.html">http://vm.cfsan.fda.gov/~ear/shellfis.html</a>
- Seafood HACCP CFSAN web page: See http://www.cfsan.fda.gov/~comm/haccpsea.html

Seafood Information and Resources: CFSAN web page

http://www.cfsan.fda.gov/seafood1.html#haccp

#### 1022.05 - Food Inspection Guides

Food inspection guides are available from DFI. Also, see <a href="http://www.fda.gov/ora/inspect\_ref/igs/iglist.html">http://www.fda.gov/ora/inspect\_ref/igs/iglist.html</a>. They include:

- Guidance on Inspections of Firms Producing Food Products Susceptible to Contamination with Allergenic Ingredients (8/01) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/allergy\_inspection\_quide.htm">http://www.fda.gov/ora/inspect\_ref/igs/allergy\_inspect\_tion\_quide.htm</a>
- 2. Food Allergen Inspection Training for Regulators (10/01) see <a href="http://www.cfsan.fda.gov/~dms/alrgtrn.html">http://www.cfsan.fda.gov/~dms/alrgtrn.html</a>
- Guide to Nutritional Labeling and Education Act (NLEA)
   Requirements (2/95) See
   <a href="http://www.fda.gov/ora/inspect\_ref/igs/nleatxt.html">http://www.fda.gov/ora/inspect\_ref/igs/nleatxt.html</a>
   Guide to Inspections of Computerized Systems in the in
- the Food Processing Industry (3/98) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/foodcomp.html">http://www.fda.gov/ora/inspect\_ref/igs/foodcomp.html</a>
- Guide to Inspections of Grain Product Manufacturers (7/03)
- Guide to Inspections of Interstate Carriers and Support Facilities (4/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/icsf.html">http://www.fda.gov/ora/inspect\_ref/igs/icsf.html</a>
- Guide to Inspections of Miscellaneous Food Products Volume I (5/95) See http://www.fda.gov/ora/inspect\_ref/igs/foodsp.html
- 8. Guide to Inspections of Manufacturers of Miscellaneous Food Products, Volume II (9/96) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/foodsp2.html">http://www.fda.gov/ora/inspect\_ref/igs/foodsp2.html</a>
- Guide to Inspections of Dairy Product Manufacturers (4/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/dairy.html">http://www.fda.gov/ora/inspect\_ref/igs/dairy.html</a>
- 10. Guide to Inspections of Acidified Food Manufacturers (5/98) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/acid-fqde.htm">http://www.fda.gov/ora/inspect\_ref/igs/acid-fqde.htm</a>
- Guide to Inspections of Low Acid Canned Food Manufacturers, Part 1 (11/96) Administrative Procedures and Scheduled Processes See <a href="http://www.fda.gov/ora/inspect\_ref/igs/lacfpt1/lacf-pt101.html">http://www.fda.gov/ora/inspect\_ref/igs/lacfpt1/lacf-pt101.html</a>
- 12. Guide to Inspections of Low Acid Canned Food Manufacturers, Part 2 Processes and Procedures (4/97) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/lacf-pt2/lacfpt201.html">http://www.fda.gov/ora/inspect\_ref/igs/lacf-pt2/lacfpt201.html</a>
- Guide to Inspections of Low Acid Canned Food Manufacturers, Part 3 Containers/Closures (11/98) <a href="http://www.fda.gov/ora/inspect\_ref/igs/iglist.html">http://www.fda.gov/ora/inspect\_ref/igs/iglist.html</a>
- Guide to the Inspection of Aseptic Processing and Packaging for the Food Industry (02/01), currently only available in hardcopy
- Guide to Trace Back of Fresh Fruits and Vegetables Implicated in Epidemiological Investigations (7/03) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/epigde/epigde.html">http://www.fda.gov/ora/inspect\_ref/igs/epigde/epigde.html</a>

#### 1022.06 - CFSAN Databases

- Everything Added to Food in the United States (EAFUS) see
  - http://www.cfsan.fda.gov/~dms/eafus.html
- 2. List of Indirect Additives Used in Food Contact Substances, see <a href="http://www.cfsan.fda.gov/~dms/opa-indt.html">http://www.cfsan.fda.gov/~dms/opa-indt.html</a>
- 3. Inventory of Effective Premarket Notifications for Food Contact Substances see <a href="http://www.cfsan.fda.gov/~dms/opa-fcn.html">http://www.cfsan.fda.gov/~dms/opa-fcn.html</a>
- Food Contact Substance Cumulative Daily Intake/ Acceptable Daily Intake database, see <a href="http://www.cfsan.fda.gov/~dms/opa-edi.html">http://www.cfsan.fda.gov/~dms/opa-edi.html</a>. This database cites the regulation where a food contact substance appears.
- 5. Summary of all GRAS notices see <a href="http://www.cfsan.fda.gov/~rdb/opa-gras.html">http://www.cfsan.fda.gov/~rdb/opa-gras.html</a>
- 6. Partial List of Enzyme Preparations Used in Food (7/01) see <a href="http://www.cfsan.fda.gov/~dms/opa-enzy.html">http://www.cfsan.fda.gov/~dms/opa-enzy.html</a>
- 7. Partial List of Microbial Derived Ingredients Used in Food (7/01) see <a href="http://www.cfsan.fda.gov/~dms/opa-micr.html">http://www.cfsan.fda.gov/~dms/opa-micr.html</a>
- Summary of Color Additives Used in Foods, Drugs, Cosmetics, and Medical Devices

CFSAN Office of Management Systems (HFS-676) maintains an internal database of Low Acid Canned Food/Acidified Food registered establishments and scheduled processes. To gain access and further information about this database, ORA personnel should contact Sharon Macuci ORA/ORM at 301-436-1865.

#### **1023 - DIETARY SUPPLEMENTS**

To access the FDA's dietary supplement web site, see <a href="http://www.cfsan.fda.gov/~dms/supplmnt.html">http://www.cfsan.fda.gov/~dms/supplmnt.html</a>. References there include:

- Dietary Supplement Health and Education Act of 1994 (12/95) synopsis
- 2. Dietary Supplement Overview of Dietary Supplements (4/99)
- 3. Ingredients: Premarket Notification for a New Dietary Ingredient (Federal Register, 9/23/97)
- Ingredients: New Ingredients Explanation including: definition, notification process, and table of notifications received (2/01)
- Labeling Guidance for Industry: Statement of Identity, Nutrition Labeling, and Ingredient Labeling of Dietary Supplements (1/99)
- Labeling Defining Structure/Function Claims That Can Be Used for Dietary Supplements, final Rule: Final Rule: Statements Made for Dietary Supplements Concerning the Effect of a Product on the Structure or Function of the Body (Federal Register, 01/06/2000)
- Labeling Interim Procedures for Qualified Health Claims in the Labeling of Conventional Human Food and Human Dietary Supplements and Interim Evidence-based Ranking System for Scientific Data (7/03)

- Labeling Guidance for Industry Statement of Identity, Nutrition Labeling and Ingredient Labeling of Dietary Supplements (1/99)
- Labeling Guidance for Industry: Iron Containing Supplements and Drugs: Label Warning Statements (10/03)
- 10. Labeling Requirements to Use the Nutrient Content Claims "High Potency" and "Antioxidants". Final Rule: Food Labeling; Nutrient Content Claims: Definition for "High Potency" and Definition of "Antioxidant" for Use in Nutrient Content Claims for Dietary Supplements and Conventional Foods (Federal Register 9/23/97)
- Labeling Letter Regarding Dietary Supplement Health Claim for Antioxidant Vitamins and Risk of Certain Cancers (4/03)
- 12. Consolidated Information on Ephedrine Alkaloids

#### 1024 - COSMETICS

#### 1024.01 - Cosmetic References

For FDA's Cosmetic web site see <a href="http://www.cfsan.fda.gov/~dms/cos-toc.html">http://www.cfsan.fda.gov/~dms/cos-toc.html</a>. Specific cosmetic references include:

- Cosmetics Handbook (1992): FDA requirements and policies for safe production and accurate labeling of cosmetics
- 2. Cosmetic Good Manufacturing Practice Guidelines
- 3. FDA's Cosmetic Labeling Manual (10/91): Contains information on FDA's requirements and policies for safe production and accurate labeling of cosmetics.
- Information Materials for the Food and Cosmetics Industries: A catalogue of cosmetic publications
- 5. Memorandum of Understanding (MOU) (6/03): Intercenter Agreement Between the Center for Drug Evaluation and Research and the Center for Food Safety and Applied Nutrition to Assist FDA in Implementing the Drug and Cosmetic Provision of the Federal Food, Drug and Cosmetic Act for Products that Purport to be Cosmetics But Meet the Statutory Definition of a Drug
- 6. Microbiological Methods for Cosmetics (from FDA's Bacteriological Analytical Manual 8/01)

#### 1024.02 - Cosmetic Inspection Guides

 Cosmetic Guide to Inspections of Cosmetic Product Manufacturers (2/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/cosmet.html">http://www.fda.gov/ora/inspect\_ref/igs/cosmet.html</a>

#### **1025 - DEVICES**

#### 1025.01 - CDRH Regulatory References

The Center for Devices and Radiological Health (CDRH), Division of Small Manufacturers Assistance (DSMA) (HFZ-220) maintains Fax Back, a fax on demand system to provide medial device related FDA references. The telephone numbers to access this system are (800) 899-0381 or (301) 827-0111. For up-to-date medical device

references, see <a href="http://www.fda.gov/cdrh/index.html">http://www.fda.gov/cra</a>, the ORA home page for up-to-date medical device publications and guidance materials. For an alphabetized index of CDRH references, including product specific references, see <a href="http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfTopic/topicindex/topindx.cfm">http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfTopic/topicindex/topindx.cfm</a>. One selection in the index is a list of Good Guidance Practices Documents, organized by issuing CDRH Office/Division/Branch.

References available from the CDRH fax information system or the CDRH web site include:

- 1. 510(k): 510(k) Manual Premarket Notification Regulatory Requirements for Medical Devices (8/95)
- 2. 510(k): Deciding When to Submit a 510(k) for a Change to an Existing Device (1/97)
- 3. 510(k) Sterility Review Guidance K90-1 Final Guidance for Industry and FDA (8/02)
- 4. 510(k): Medical Device Exemptions 510(k) and GMP Requirements (11/00)
- 5. 510(k): Guidance or the Content of Premarket Submissions for Software Contained in Medical Devices (5/29/98)
- Classification of Medical Devices: FDA Classification of Medical Devices
- 7. Classification of Medical Devices: Medical Device Product Code Classification Database
- 8. Consensus Standards: Guidance on the Recognition and Use of Consensus Standards (6/01)
- 9. Design: Design Control Guidance for Medical Device Manufacturers (3/97)
- 10. Design: Do it By Design an Introduction to Human Factors in Medical Devices See <a href="http://www.fda.gov/cdrh/humfac/doit.html">http://www.fda.gov/cdrh/humfac/doit.html</a> (9/93)
- 11. Design: Device Use Safety: Incorporating Human Factors in Risk Management (7/00) See <a href="http://www.fda.gov/cdrh/humfac/1497.html">http://www.fda.gov/cdrh/humfac/1497.html</a>
- 12. Design: New Model Medical Device Development Process (7/98)
- 13. Import Alerts on Medical Devices
- 14. IVD: Guideline for the Manufacture of In Vitro Diagnostic Products (1/94)
- 15. Labeling: Regulatory Requirements for Medical Device Manufacturers (8/89)
- 16. Labeling: Guidance for Industry: Alternative to Certain Prescription Device Labeling Requirements (1/00)
- 17. Labeling: Human Factors Principles for Medical Device Labeling (9/93)
- 18. MDR: Medical Device Reporting for Manufacturers (amended 3/00)
- 19. MDR: Medical Device Reporting for User Facilities (4/96)
- 20. MDR: Medical Device Reporting Forms and Instructions
- 21. MDR: Medical Device Reporting Alternative Summary Reporting (ASR) Program (10/00)
- 22. MDR: User Facility Reporting Bulletins
- 23. PMA: Premarket Approval Process
- 24. Quality Systems: Medical Device Medical Device Quality Systems Manual: A Small Entity Compliance Guide First Edition

- 25. Quality Systems: The FDA and Worldwide Quality System Requirements Guidebook for Medical Devices". compiled by FDA/CDRH' Kimberly Trautman. The book offers guidance on the medical device QS/GMPs and shows their relationship to ISO 9001.
- 26. Registration: Guidance for Industry: Instructions for Completion of Medical Device Registration and Listing Forms 2891, 2891a and 2892
- Registration and Listing: FOIA Releasable Registration and Listing Files
- 28. Re-use of Single Use: Enforcement Priorities for Single-Use Devices Reprocessed by Third Parties and Hospitals (8/00) and Appendix A updates (4/03)
- 28. Software: Final Guidance for Industry and FDA: General Principles of Software Validation (1/02)
- Software: Guidance for Industry, FDA Reviewers and Compliance on Off-the-Shelf Software Use in Medical Devices (9/99)
- 31. Tracking: Guidance for Industry and FDA Staff on Medical Device Tracking (1/00)

#### 1025.02 - Device Inspection Guides

Inspection guides covering medical devices are available from DFI (HFC-130) at 301-827-5653. Also see http://www.fda.gov/ora/inspect\_ref/igs/iglist.html for guides to inspections of medical devices such as:

- Guide to Inspections of Medical Device Manufacturers(12/97). See <a href="http://www.fda.gov/ora/inspect-ref/igs/med-dev-mnfct/toc.html">http://www.fda.gov/ora/inspect-ref/igs/med-dev-mnfct/toc.html</a>
- Guide to Inspections of Quality Systems (8/99) See http://www.fda.gov/ora/inspect\_ref/igs/gsit/gsit/gsitquide.htm
- Guide to Inspections of Foreign Medical Device Manufacturers (9/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/fordev.html">http://www.fda.gov/ora/inspect\_ref/igs/fordev.html</a>
- Guide to Inspections of Electromagnetic Compatibility
   Aspects of Medical Device Quality Systems (12/97)
   See <a href="http://www.fda.gov/ora/inspect\_ref/igs/elec\_med\_dev/emc1.html">http://www.fda.gov/ora/inspect\_ref/igs/elec\_med\_dev/emc1.html</a>
- Mammography Quality Standards Act (MQSA) Auditor's Guide (1/98) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/mqsa.html">http://www.fda.gov/ora/inspect\_ref/igs/mqsa.html</a>
- Guide to Bioresearch Monitoring Inspections of In Vitro Diagnostic Devices (3/98) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/bimoivd.html">http://www.fda.gov/ora/inspect\_ref/igs/bimoivd.html</a>
- Glossary of Computerized System and Software Development Terminology (8/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/gloss.html">http://www.fda.gov/ora/inspect\_ref/igs/gloss.html</a>

#### 1025.03 - CDRH Databases

For a list of and links to CDRH public access databases, see <a href="http://www.fda.gov/cdrh/databases.html">http://www.fda.gov/cdrh/databases.html</a>. They include a searchable database of CDRH guidance documents, a listing of medical devices in commercial distribution, a database of registered firms, a listing of FDA - recognized consensus standards, and a product classification database. To access the CDRH public database of medical devices which may have malfunctioned or caused a death or seri-

ous injury during the years 1992 through 1997, see <a href="http://www.fda.gov/cdrh/mdrfile.html">http://www.fda.gov/cdrh/mdrfile.html</a>. The web site also contains a public database of the Device Experience Database (MAUDE) for a reports of adverse events involving medical devices since June 1993. To access the FDA internal registration and listing 510(k), PMA, MDR and Maude databases through the CDRH Information Retrieval System (CIRS) you must acquire an individual account by contacting your District CIRS liaison. See the ORA Field Program Monitors listing in the Chapter 2 of the IOM to locate your District CIRS liaison. To access the CDRH internal M204 data system on radiation-emitting electronic products, request the District computer liaison to contact the CDRH Office of Compliance for an account and instructions.

#### 1026 - BIOLOGICS

#### 1026.01 - CBER Regulatory References

A current listing of the Center for Biologics Evaluation and Research (CBER) regulatory references is available through CBER's web site.

For the topic index of CBER references, see <a href="http://www.fda.gov/cber/cberac.htm">http://www.fda.gov/cber/cberac.htm</a>. For an index sorted by type of CBER publication, see <a href="http://www.fda.gov/cber/publications.htm">http://www.fda.gov/cber/publications.htm</a>. These references include:

- IND Exemptions: Guidance for Industry: IND Exemptions for Studies of Drug or Biological Products for Treatment of Cancer (9/03)
- 2. Bioengineered Plants: Guidance for Industry: Drugs, Biologics, and Medical Devices Derived from Bioengineered Plants for Use in Humans and Animals (9/02) see http://www.fda.gov/cber/gdlns/bioplant.htm
- 3. Container Closure Systems: Guidance for Industry: Container Closure Systems for Packaging Human Drugs and Biologics-Chemistry Manufacturing Controls Documentation (7/99) see http://www.fda.gov/cber/gdlns/cntanr.htm
- Human Tissue: Preventive Measures to Reduce the Possible Risk of Transmission of Creutzfeldt Jakob Disease (CJD) and Variant Creutzfeld-Jakob Disease (vCJD) by Human Cells, Tissues, and Cellular and Tissue-Based Products (HCT/Ps)(6/02) see <a href="http://www.fda.gov/cber/gdlns/cjdvcjd0602.htm">http://www.fda.gov/cber/gdlns/cjdvcjd0602.htm</a>
- Human Tissue: Guidance for Industry: Validation of Procedures for Processing of Human Tissues Intended for Transplantation (3/02) see <a href="http://www.fda.gov/cber/gdlns/tissval.htm">http://www.fda.gov/cber/gdlns/tissval.htm</a>
- Postmarket Adverse Experiences: Draft Guidance for Industry: Postmarketing Safety Reporting for Human Drug and Biological Products including Vaccines March 2001 See
  - http://www.fda.gov/cder/guidance/4177dft.pdf
- Sterile Products: Draft Guidance for Industry Sterile Drug Products Produced by Aseptic Processing -Current Good Manufacturing Process (8/03)

# 1026.02 - Blood and Blood Products Inspection

Guides and Industry Guidance

For a complete list of inspectional guides available from DFI, see <a href="http://www.fda.gov/ora/inspect\_ref/igs/iglist.html">http://www.fda.gov/ora/inspect\_ref/igs/iglist.html</a>. Blood and blood products inspection guides are:

- 1. Blood Bank Inspections (9/94) See <a href="http://www.fda.gov/ora/inspect-ref/igs/blood.html">http://www.fda.gov/ora/inspect-ref/igs/blood.html</a>
- 2. Source Plasma Establishments (4/01) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/Source\_Plasma/default.htm">http://www.fda.gov/ora/inspect\_ref/igs/Source\_Plasma/default.htm</a>
- 3. Infectious Disease Marker Testing Facilities (10/96) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/infdis.html">http://www.fda.gov/ora/inspect\_ref/igs/infdis.html</a>

CBER has mailed many guidance documents relative to Blood Banks directly to Blood Establishments. These guidance documents are listed in the Compliance Program Guidance Manual, Inspection of Licensed and Unlicensed Blood Banks. Also, to access these on the CBER Blood web page. They include:

- Blood Components: Guidance for Industry: An Acceptable Circular of Information for the Use of Human Blood and Blood Components (10/02) See <a href="http://www.fda.gov/cber/gdlns/circbld.htm">http://www.fda.gov/cber/gdlns/circbld.htm</a>
- Blood Components: Draft Guidance for Industry: A Modified Lot-Release Specification for Hepatitis B Surface Antigen (HBSAg) Assays Used to Test Blood, Blood Components, and Source Plasma Donations (4/02) see <a href="http://www.fda.gov/cber/gdlns/hbslotrel.htm">http://www.fda.gov/cber/gdlns/hbslotrel.htm</a>
- 3. Donors: Guidance for Industry: Recommendations for Deferral of Donors and Quarantine and Retrieval of Blood and Blood Products in Recent Recipients of Smallpox Vaccine (Vaccinia Virus) and Certain Contacts of Smallpox Vaccine Recipients (12/02) See http://www.fda.gov/cber/gdlns/smpoxdefquar.htm#
- Donors: Guidance for Industry: Revised Recommendations for the Assessment of Donor Suitability and Blood and Blood Product Safety in Cases of Known or Suspected West Nile Virus Infection (5/03)
- Donors: Guidance for Industry: Streamlining the Donor Interview Process: Recommendations for Self-Administered Questionnaires (7/03)
- Donors: Draft Guidance for Industry: Use of Nucleic Acid Tests on Pooled and Individual Samples of Donors of Whole Blood and Blood Components for Transfusion to Adequately and Appropriately Reduce the Risk of Transmission of HIV-1 and HCV (3/02) see <a href="http://www.fda.gov/cber/gdlns/hivhcvnatbld.htm">http://www.fda.gov/cber/gdlns/hivhcvnatbld.htm</a>
- 7. Donors: Draft Guidance for Industry: Precautionary Measures to Reduce the Possible Risk of Transmission of Zoonoses by Blood and Blood Products from Xenotransplantation Produce Recipients and Their Contacts (12/99) see

### http://www.fda.gov/cber/gdlns/zooxeno.htm

### 1026.03 - Other Biologics Inspection Guides

 Guide to Inspections of Viral Clearance Processes for Plasma Derivatives (3/98) See

- http://www.fda.gov/ora/inspect\_ref/igs/viralcl.html
- Biotechnology Inspection Guide (11/91) See http://www.fda.gov/ora/inspect ref/igs/biotech.html

#### 1026.04 - CBER Databases

Vaccine Adverse Event Report System (VAERS): a public access database of adverse events that occur after the administration of US licensed vaccines. Reports are received from: patients, parents, health care providers, pharmacists, and vaccine manufacturers

The Adverse Event Reporting System (AERS): a public access database designed to support the FDA's post-marketing safety surveillance program for all approved drug and therapeutic biologic products. The FDA receives adverse drug reaction reports from manufacturers as required by regulation. Health care professionals and consumers send reports voluntarily through the MedWatch program

#### 1027 - DRUGS

### 1027.01 - CDER Regulatory References

CDER regulatory references including a complete list of CDER Guidance Documents are available on the CDER Regulatory Guidance web site, see <a href="http://www.fda.gov/cder/regulatory/default.htm">http://www.fda.gov/cder/regulatory/default.htm</a> and from the Drug Information Branch at 301-827-4573. Go to International Conference on Harmonization (ICH) web site to learn more about quality references under development by the U.S., European Union (EU) and Japan.

- 1. Botanical Drug Products: Guidance for Industry: Botanical Drug Products (Draft 8/00) See <a href="http://www.fda.gov/cder/guidance/1221dft.htm">http://www.fda.gov/cder/guidance/1221dft.htm</a>
- 2. Computerized Systems Used in Clinical Trials (4/99) See <a href="http://www.fda.gov/ora/compliance\_ref/bimo/ffinal-cct.PDF">http://www.fda.gov/ora/compliance\_ref/bimo/ffinal-cct.PDF</a>
- 3. Container Closure Systems for Packaging Human Drugs and Biologics (5/99) See <a href="http://www.fda.gov/cder/quidance/1714fnl.htm">http://www.fda.gov/cder/quidance/1714fnl.htm</a>
- 4. Dioxin: Possible Contamination of Drugs and Biological Products Guidance for Industry (8/99) See <a href="http://www.fda.gov/cder/quidance/3310fnl.pdf">http://www.fda.gov/cder/quidance/3310fnl.pdf</a>
- 5. Drug Master Files Guideline (9/89) See <a href="http://www.fda.gov/cder/guidance/dmf.htm">http://www.fda.gov/cder/guidance/dmf.htm</a>
- Drug Master Files for Bulk Antibiotic Drug Substances Guidance (11/99) See <a href="http://www.fda.gov/cder/guidance/3276fnl.pdf">http://www.fda.gov/cder/guidance/3276fnl.pdf</a>
- 7. Expiration Dating of Solid Oral Dosage Forms Containing Iron (6/97) See <a href="http://www.fda.gov/cder/quidance/1807fn1.pdf">http://www.fda.gov/cder/quidance/1807fn1.pdf</a>
- Gelatin: Guidance for Industry: The Sourcing and Processing of Gelatin to Reduce the Risk Posed by Bovine Spongiform Encephalopathy (BSE) in FDA regulated Products for Human Use (9/97)
- ICH Q1A Stability Testing of New Drug Substances and Products Rev. 1 (8/01) See <a href="http://www.fda.gov/OHRMS/DOCKETS/98fr/930139gd.pdf">http://www.fda.gov/OHRMS/DOCKETS/98fr/930139gd.pdf</a>
- 10. ICH Q1D Guidance for Industry: Bracketing and

- Matrixing Designs for Stability Testing of New Drug Substances and Products (1/03) See <a href="http://www.fda.gov/cder/guidance/4985fnl.pdf">http://www.fda.gov/cder/guidance/4985fnl.pdf</a>
- ICH Q1E Draft Consensus Guideline Evaluation of Stability Data, see <a href="http://www.fda.gov/OHRMS/DOCK-ETS/98fr/02d-0237-qdl0001-vol1.pdf">http://www.fda.gov/OHRMS/DOCK-ETS/98fr/02d-0237-qdl0001-vol1.pdf</a>
- 12. ICH Q1F Draft Consensus Guideline Stability Data for Registration in Climactic Zones 3 and 4, (2/02) see <a href="http://www.ich.org/pdfICH/Q1Fstep2.pdf">http://www.ich.org/pdfICH/Q1Fstep2.pdf</a>
- ICH Q3AR Final Guidance on Impurities in New Drug Substances (2/03) Published in the Federal Register, Vol, 68, No. 68, Tuesday February 11, 2003; p. 6924-6925
- ICH Q3BR: Impurities in New Drug Products (Revised Guideline) (2/03)
- 15. ICH Q3C Guidance for Industry on Impurities: Residual Solvents (12/97) or see FR Vol. 62, NO. 247, December 24, 1997, page 67377, http://www.fda.gov/cder/guidance/Q3Cfinal.htm
- ICH Q5A Quality of Biotechnological Products: Viral Safety Evaluation of Biotechnology Products Derived from Cell Lines of Human or Animal Origin in FR Vol. 63, No. 185, 9/24/98 see <a href="http://www.fda.qov/ohrms/dockets/98fr/092498c.txt">http://www.fda.qov/ohrms/dockets/98fr/092498c.txt</a>
- ICH Q6A Specifications: Test Procedures and Acceptance Criteria for New Drug Substances and New Drug Products: Chemical Substances, in FR Vol. 65, No. 251 on 12/29/00, see <a href="http://www.fda.gov/OHRMS/DOCKETS/98fr/122900d.htm">http://www.fda.gov/OHRMS/DOCKETS/98fr/122900d.htm</a>
- ICH Q6B Guidance on Specifications: Test Procedures and Acceptance Criteria for Biotechnological/Biological Products in FR Vol. 64 No. 159 on 8/18/99, see <a href="http://www.fda.gov/OHRMS/DOCKETS/98fr/081899a.txt">http://www.fda.gov/OHRMS/DOCKETS/98fr/081899a.txt</a>
- ICH Q7A Guidance for Industry: Good Manufacturing Practice Guidance for Active Pharmaceutical Ingredients (8/01) See <a href="http://www.fda.gov/cder/guid-ance/4286fnl.htm">http://www.fda.gov/cder/guid-ance/4286fnl.htm</a>
- Inhalation Drug Products: Guidance for Industry: Nasal Spray and Inhalation, Solution, Suspension and Spray Drug Products Chemistry, Manufacturing and Controls Documentation (7/02)
- 21. Medical Gases Guideline (2/89) See <a href="http://www.fda.gov/cder/guidance/cmgg89.htm">http://www.fda.gov/cder/guidance/cmgg89.htm</a>
- 22. Medical Gas: Fresh Air 2000, A Look at FDA's Medical Gas Requirements, see <a href="http://www.fda.gov/cder/dmpq/freshair.htm">http://www.fda.gov/cder/dmpq/freshair.htm</a>
- Medical Gas Mix-Ups: Guidance for Hospitals, Nursing Homes, and Other Health Care Facilities: FDA Public Health Advisory (3/01)
- 24. Orange Book: Approved Drug Products with Therapeutic Equivalents See <a href="http://www.fda.gov/cder/ob/default.htm">http://www.fda.gov/cder/ob/default.htm</a>
- Out of Specification Test Results: Guidance for Industry: Investigation of Out of Specification Test Results for Pharmaceutical Production (Draft 9/98) See <a href="http://www.fda.gov/cder/guidance/1212dft.pdf">http://www.fda.gov/cder/guidance/1212dft.pdf</a>
- 26. Post-approval Changes: Guidance for Industry: Changes to an Approved NDA or ANDA (11/99) See <a href="http://www.fda.gov/cder/guidance/2766fnl.pdf">http://www.fda.gov/cder/guidance/2766fnl.pdf</a>
- 27. Post-approval Changes: Guidance for Industry: Bulk

- Actives Post-approval Changes: BACPAC I Intermediates in Drug Substance Synthesis: Chemistry, Manufacturing, Controls and Documentation (2/01)
- 28. Post-approval Changes: Guidance for Industry: SUPAC-IR: Immediate-Release Solid Oral Dosage Forms: Scale-Up and Post Approval Changes: Chemistry, Manufacturing Controls, In Vitro Dissolution Testing, and In Vivo Bioequivalence Documentation (11/95) See http://www.fda.gov/cder/guidance/cmc5.pdf
- 29. Post-approval Changes: Guidance for Industry: SUPAC-MR: Modified Release Solid Oral Dosage Forms Scale-Up and Postapproval Changes: Chemistry, Manufacturing and Controls; In Vitro Dissolution Testing and In Vivo Bioequivalency Documentation (9/97) See <a href="http://www.fda.gov/cder/quidance/1214fnl.pdf">http://www.fda.gov/cder/quidance/1214fnl.pdf</a>
- 30. Post-approval Changes: Guidance for Industry: SUPAC-IR/MR Immediate Release and Modified Release Solid Oral Dosage Forms Manufacturing Equipment Addendum (1/99) See <a href="http://www.fda.gov/cder/guidance/1721fnl.pdf">http://www.fda.gov/cder/guidance/1721fnl.pdf</a>
- 31. Post-approval Changes: Guidance for Industry: SUPAC-IR: Questions and Answers about SUPAC-IR Guidance (2/97) See <a href="http://www.fda.gov/cder/guidance/galetter.htm">http://www.fda.gov/cder/guidance/galetter.htm</a>
- 32. Post-approval Changes: Guidance for Industry: SUPAC-SS: Nonsterile Semisolid Dosage Forms: Scale-UP and Post-Approval Changes: Chemistry, Manufacturing and Controls; In Vitro Release Testing and In Vivo Bioequivalence Documentation (5/97) see <a href="http://www.fda.gov/cder/guidance/1447fnl.pdf">http://www.fda.gov/cder/guidance/1447fnl.pdf</a>
- 33. Post-approval Changes: Guidance for Industry: SUPAC-SS Manufacturing Equipment Addendum (Draft 12/98) See <a href="http://www.fda.gov/cder/guidance/1722dft.pdf">http://www.fda.gov/cder/guidance/1722dft.pdf</a>
- 34. Postmarket Adverse Experiences: Guideline for Postmarketing Reporting of Adverse Drug Experiences [Docket No. 85D-0249] March 1992 See <a href="http://www.fda.gov/medwatch/safety/ade/t\_cder.htm">http://www.fda.gov/medwatch/safety/ade/t\_cder.htm</a>
- 35. Postmarket Adverse Experiences: Guidance for Industry: Postmarketing Adverse Experience Reporting for Human Drug and Licensed Biological Products Clarification of What to Report August 1997 See <a href="http://www.fda.gov/medwatch/report/quide2.htm">http://www.fda.gov/medwatch/report/quide2.htm</a>
- Postmarket Adverse Experiences: Draft Guidance for Industry: Postmarketing Safety Reporting for Human Drug and Biological Products including Vaccines March 2001 See <a href="http://www.fda.gov/cder/guidance/4177dft.pdf">http://www.fda.gov/cder/guidance/4177dft.pdf</a>
- 37. Sterile Drug Products Produced by Aseptic Processing: Current Good Manufacturing Practice Draft Guidance (8/03)
- 38. Sterile Drug Products: Guideline on Sterile Drug Products Produced by Aseptic Processing (6/87, reprinted 6/91)
- Validation: Guideline on the Preparation of Investigational New Drug Products (Human and Animal) (3/91) see <a href="https://www.fda.gov/cder/guidance/old042fn.pdf"><u>www.fda.gov/cder/guidance/old042fn.pdf</u></a>

- Validation: Guideline on General Principles of Process Validation (5/87) See http://www.fda.gov/cder/guidance/pv.htm
- Validation: Compliance Policy Guide 7132c.08 (8/93)
   Process Validation Requirements for Drugs Subject to Premarket Approval See <a href="http://www.fda.gov/ora/compliance-ref/cpg/cpgdrg/cpg490-100.html">http://www.fda.gov/ora/compliance-ref/cpg/cpgdrg/cpg490-100.html</a>
- 42. Validation: Guidance for Industry: Submission Documentation for Sterilization Process Validation in Applications for Human and Veterinary Drug Products (11/94) see <a href="http://www.fda.gov/cder/guidance/cmc2.pdf">http://www.fda.gov/cder/guidance/cmc2.pdf</a>
- 43. Validation: Guideline on Validation of the Limulus Amebocyte Lysate Test as an End Product Endotoxin Test for Human and Animal Parenteral Drugs, Biological Products, and Medical Devices (12/87) See <a href="http://www.fda.gov/cder/guidance/old005fn.pdf">http://www.fda.gov/cder/guidance/old005fn.pdf</a>
- 44. Validation: Guidance for Industry: Analytical Procedures and Methods Validation Chemistry, Manufacturing, and Controls Documentation (Draft 8/00) See <a href="http://www.fda.gov/cder/quidance/2396dft.htm">http://www.fda.gov/cder/quidance/2396dft.htm</a>
- 45. Validation: Final Guidance for Industry and FDA: General Principles of Software Validation (1/02) See <a href="http://www.fda.gov/cdrh/comp/guidance/938.html">http://www.fda.gov/cdrh/comp/guidance/938.html</a>

#### 1027.02 - Human Drug Inspection Guides

Inspectional guides covering human and animal drug manufacturing and testing that are available from DFI. See <a href="https://www.fda.gov/ora">www.fda.gov/ora</a>, Inspectional References, include:

- Guide to Inspection of Computerized Systems in Drug Processing (2/83) See http://www.fda.gov/ora/inspect\_ref/igs/csd.html
- Glossary of Computerized System and Software Development Terminology See <a href="http://www.fda.gov/ora/inspect\_ref/igs/gloss.html">http://www.fda.gov/ora/inspect\_ref/igs/gloss.html</a>
- Guide to Inspections of High Purity Water Systems (7/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/high.html">http://www.fda.gov/ora/inspect\_ref/igs/high.html</a>
- Guide to Inspections of Lyophilization of Parenterals (7/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/lyophi.html">http://www.fda.gov/ora/inspect\_ref/igs/lyophi.html</a>
- Guide to Inspections of Microbiological Pharmaceutical Quality Control Laboratories (7/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/micro.html">http://www.fda.gov/ora/inspect\_ref/igs/micro.html</a>
- Guide to Inspections of Pharmaceutical Quality Control Laboratories (7/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/pharm.html">http://www.fda.gov/ora/inspect\_ref/igs/pharm.html</a>
- 7. Guide to Inspections of Validation of Cleaning Processes (7/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/valid.html">http://www.fda.gov/ora/inspect\_ref/igs/valid.html</a>
- 8. Guide to Inspections of Dosage Form Drug Manufacturers CGMP's (10/93) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/dose.html">http://www.fda.gov/ora/inspect\_ref/igs/dose.html</a>
- Guide to Inspections of Oral Solid Dosage Forms Pre/Post Approval Issues for Development and Validation (1/94) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/solid.html">http://www.fda.gov/ora/inspect\_ref/igs/solid.html</a>
- 10. Guide to Inspections of Sterile Drug Substance

- Manufacturers (7/94) See http://www.fda.gov/ora/inspect\_ref/igs/subst.html
- 11. Guide to Inspections of Topical Drug Products (7/94) See http://www.fda.gov/ora/inspect\_ref/igs/topic.html
- Guide to Inspections of Oral Solutions and Suspensions (8/94) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/oral.html">http://www.fda.gov/ora/inspect\_ref/igs/oral.html</a>
- 13. Guide to Inspections of Foreign Pharmaceutical Manufacturers (5/96) See <a href="http://www.fda.gov/ora/inspect-ref/igs/fordrug.html">http://www.fda.gov/ora/inspect-ref/igs/fordrug.html</a>
- 14. Guide to Inspections of Bulk Pharmaceutical Chemicals (9/91) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/bulk.html">http://www.fda.gov/ora/inspect\_ref/igs/bulk.html</a>
- 15. Biotechnology Inspection Guide (11/91) See <a href="http://www.fda.gov/ora/inspect">http://www.fda.gov/ora/inspect</a> ref/igs/biotech.html
- Enforcement of the Postmarketing Adverse Drug Experience Reporting Regulations See <a href="http://www.fda.gov/cder/aers/chapter53.htm">http://www.fda.gov/cder/aers/chapter53.htm</a>

#### 1027.03 - Veterinary Regulatory References

The Center for Veterinary Medicine (CVM) regulatory and informational references are available on the CVM website. See <a href="http://www.fda.gov/cvm/default.htm">http://www.fda.gov/cvm/default.htm</a> CVM website references include guidance documents - See <a href="http://www.fda.gov/cvm/guidance/published.htm#documents">http://www.fda.gov/cvm/guidance/published.htm#documents</a>, and Compliance Policy Guides (CPGs) as well as an index of topics. Copies of regulatory references may also be obtained from the CVM's Communications Staff (HFV-12), MPN IV, 7519 Standish Place, Rockville, MD 20855, or by calling (301) 827-3800. CVM references include:

- 1. Drug Stability Guideline No.5: (4th Revision 12/90) See <a href="http://www.fda.gov/cvm/quidance/quide5part1.html">http://www.fda.gov/cvm/quidance/quide5part1.html</a>
- 2. Guideline No. 23: Medicated Free Choice Feeds: Manufacturing Controls (7/85) See <a href="http://www.fda.gov/cvm/quidance/guide23.html">http://www.fda.gov/cvm/quidance/guide23.html</a>
- 3. CPG Sec. 608.400 (7125.40 ) Compounding of Drugs for use in Animals, See <a href="http://www.fda.gov/ora/compliance\_ref/cpg/cpgvet/cpg608-400.html">http://www.fda.gov/ora/compliance\_ref/cpg/cpgvet/cpg608-400.html</a>
- 4. Animal Drug Manufacturing Guidelines No. 42 A series of 4 guidelines revised 1994) See <a href="http://www.fda.gov/cvm/guidance/admguidelinetoc.html">http://www.fda.gov/cvm/guidance/admguidelinetoc.html</a>
- Guidance for Industry No. 48: Submission of Documentation for Sterilization Process Validation in Applications for Human and Veterinary Drug Products (11/94)
- 6. Guidance for Industry No. 57: Preparation and Submission of Veterinary Master Files (1/95) see <a href="http://www.fda.gov/cvm/guidance/guide57.html">http://www.fda.gov/cvm/guidance/guide57.html</a>
- 7. Guidance for Industry No. 64: Validation of Analytical Procedures: Methodology (7/99) See <a href="http://www.fda.gov/cvm/quidance/quida64.doc">http://www.fda.gov/cvm/quidance/quida64.doc</a>
- 8. Guidance for Industry No. 67: Small Entities Compliance Guide for Renderers (2/98) See <a href="http://www.fda.gov/cvm/guidance/guidance67.pdf">http://www.fda.gov/cvm/guidance/guidance67.pdf</a>
- Guidance for Industry No. 68: Small Entity Compliance Guide for Protein Blenders, Feed Manufacturers and Distributors (2/98) See <a href="http://www.fda.gov/cvm/guidance/guidance68.pdf">http://www.fda.gov/cvm/guidance/guidance68.pdf</a>

- Guidance for Industry No. 69: Small Entities Compliance Guide No. for Feeders of Ruminant Animals With On-Farm Feed Mixing Operations (2/98) See <a href="http://www.fda.gov/cvm/quidance/quidance69.pdf">http://www.fda.gov/cvm/quidance/quidance69.pdf</a>
- Guidance for Industry No. 70: Small Entity Compliance Guide for Feeders of Ruminant Animals Without On-Farm Feed Mixing Operations (2/98) See <a href="http://www.fda.gov/cvm/guidance/guidance70.pdf">http://www.fda.gov/cvm/guidance/guidance70.pdf</a>
- 12. Guidance for Industry No. 72: GMPs for Medicated Feed Manufacturers Not Required to Register and be Licensed with FDA (5/98) See http://www.fda.gov/cvm/guidance/guideline72.html
- CPG Sec. 689.100 (7126.41) Direct Fed Microbial Products See <a href="http://www.fda.gov/ora/compliance-ref/cpg/cpgvet/cpg689-100.html">http://www.fda.gov/ora/compliance-ref/cpg/cpgvet/cpg689-100.html</a>
- Guidance for Industry No. 73: Stability Testing of New Veterinary Drug Substances and Medicinal Products" VICH GL3 (9/99) See <a href="http://www.fda.gov/cvm/guidance/guide73.doc">http://www.fda.gov/cvm/guidance/guide73.doc</a>
- 15. Guidance for Industry No. 74: Stability Testing of New Veterinary Dosage Forms VICH GL4 (9/99) See <a href="http://www.fda.gov/cvm/quidance/guide74.doc">http://www.fda.gov/cvm/quidance/guide74.doc</a>
- 16. Guidance for Industry No. 75: Stability Testing: Photostability Testing of New Veterinary Drug Substances and Medicinal Products VICH GL5 (9/99) See <a href="http://www.fda.gov/cvm/guidance/guide75.doc">http://www.fda.gov/cvm/guidance/guide75.doc</a>
- 17. Guidance for Industry No. 76: Questions and Answers BSE Feed Regulations (7/98) See http://www.fda.gov/cvm/quidance/guida76.htm
- Guidance for Industry No. 83: Chemistry, Manufacturing and Controls Changes to an Approved NADA or ANADA: Draft Guidance (6/99) See http://www.fda.gov/cvm/guidance/dguide83.pdf
- Guidance for Industry No. 85: Good Clinical Practices (VICH GL9) (5/01) See <a href="http://www.fda.gov/cvm/guidance/guide85.doc">http://www.fda.gov/cvm/guidance/guide85.doc</a>
- 20. Guidance for Industry No. 91: Stability Testing for Medicated Premixes (VICH GL8) (3/00) See <a href="http://www.fda.gov/cvm/guidance/fguide91.doc">http://www.fda.gov/cvm/guidance/fguide91.doc</a>
- 21. Guidance for Industry No. 92: Impurities In New Veterinary Drug Substances (7/99) See <a href="http://www.fda.gov/cvm/guidance/fguide92.doc">http://www.fda.gov/cvm/guidance/fguide92.doc</a>
- 22. Guidance for Industry No. 93: Impurities In New Veterinary Medical Products (7/99) See <a href="http://www.fda.gov/cvm/guidance/fguide93.doc">http://www.fda.gov/cvm/guidance/fguide93.doc</a>
- Guidance for Industry No. 99: Stability Testing Of Biotechnological/Biological Veterinary Medicinal Products VICH GL17: (3/01) See <a href="http://www.fda.gov/cvm/guidance/fguide99.doc">http://www.fda.gov/cvm/guidance/fguide99.doc</a>
- 24. Guidance for Industry No. 100: Impurities: Residual Solvents in New Veterinary Medicinal Products VICH GL18: (5/01) See <a href="http://www.fda.gov/cvm/quidance/quide100.doc">http://www.fda.gov/cvm/quidance/quide100.doc</a>
- 25. CPG Sec. 689.100 (7126.41) Direct Fed Microbial Products See <a href="http://www.fda.gov/ora/compliance-ref/cpg/cpgvet/cpg-689-100.html">http://www.fda.gov/ora/compliance-ref/cpg/cpgvet/cpg-689-100.html</a>
- 26. Guidance for Industry No. 105: Computerized Systems Used in Clinical Trials (4/99) See

- http://www.fda.gov/ora/compliance\_ref/bimo/ffinalcct.htm
- 27. Guidance for Industry No. 120: Veterinary Feed Directive Regulation (3/01) See <a href="http://www.fda.gov/cvm/guidance/guide120.doc">http://www.fda.gov/cvm/guidance/guide120.doc</a>
- 28. Guidance for Industry No. 126: BACPAC I: Intermediates in Drug Substance Synthesis Bulk Actives Post approval Changes: Chemistry, Manufacturing, and Controls Documentation (2/01) See <a href="http://www.fda.gov/cder/quidance/3629fnl.htm">http://www.fda.gov/cder/quidance/3629fnl.htm</a>
- 29. Guidance for Industry No. 158: Use of Material from Deer and Elk in Animal Feed I doc I I pdf I (9/03)

Refer to these documents for additional guidance applicable to veterinary drug manufacture:

- 1. Guideline on General Principles of Process Validation (5/87) See <a href="http://www.fda.gov/cder/quidance/pv.htm">http://www.fda.gov/cder/quidance/pv.htm</a>
- 2. Guideline on Sterile Drug Products Produced by Aseptic Processing (reprinted 6/91) See <a href="http://www.fda.gov/cder/guidance/old027fn.pdf">http://www.fda.gov/cder/guidance/old027fn.pdf</a>
- Sterile Drug Products Produced by Aseptic Processing

   Current Good Manufacturing Practice [HTML] [PDF]
   [Word] (9/03)
- Compliance Policy Guide 7132c.08 (8/93) Process Validation Requirements for Drugs Subject to Premarket Approval See <a href="http://www.fda.gov/ora/com-pliance-ref/cpg/cpgdrg/cpg490-100.html">http://www.fda.gov/ora/com-pliance-ref/cpg/cpgdrg/cpg490-100.html</a>

#### 1027.04 - Veterinary Drug Inspection Guides

Drug Inspection Guides listed in IOM subchapter 1027.02 apply to inspections of both human and veterinary drugs with regard to application of 21 CFR 211 Current Good Manufacturing Practice for Finished Pharmaceuticals.

#### 1027.05 - CDER and CVM Databases

- 1. CDER public access drug firm annual registration status: see www.fda.gov/cder/dfars/default.htm
- CDER public access National Drug Code Query (NDCQ) System: The NDCQ contains human drug products that have completed the listing process in accordance with the applicable federal law. The information is as reported by the listing firm. See http://www.fda.gov/cder/ndc/database/Default.htm
- 3. The Adverse Event Reporting System (AERS) is a public access database designed to support the FDA's post-marketing safety surveillance program for all approved drug and therapeutic biologic products. The FDA receives adverse drug reaction reports from manufacturers as required by regulation. Health care professionals and consumers send reports voluntarily through the MedWatch program.
- Orange Book public access database provides searches for approved human drug products by proprietary name, active ingredient, applicant holder, or application number. See
  - www.fda.gov/cder/ob/default.htm
- 5. Green Book public access database provides search

- for approved animal drug products by application number, sponsor. See <a href="http://www.fda.gov/cvm/green-book/greenbook.html">http://www.fda.gov/cvm/green-book/greenbook.html</a>
- Inactive Ingredient Database searchable database of inactive drug ingredient sin FDA-approved drug products, see
  - http://www.accessdata.fda.gov/scripts/cder/iig/index.cfm

### 1028 - BIORESEARCH MONITORING PROGRAM

### 1028.01 - Bioresearch Monitoring Regulatory References

See The FDA Good Clinical Practice in FDA Regulated Clinical Trials web page and the ORA Bioresearch Monitoring web page to access FDA bioresearch monitoring regulations and guidance, proposed regulations, draft guidance, policy and procedures including:

- 1. Application Integrity Policy Information
- 2. Bioresearch related Compliance Policy Guides
- 3. Clinical Investigators and IRBs: FDA Information Sheets: Guidance for Institutional Review Boards and Clinical Investigators (1998)
- Clinical Investigators and IRBs: Dear Colleague Letter on 1998 update of FDA Information Sheets (2/99)
- 5. Human Cloning: FDA Letter to Institutional Review Boards on Human Cloning (10/26/98)
- Clinical Investigators: Disqualified/Restricted/ Assurances List for Clinical Investigators
- 7. Computerized Systems: Guidance for Industry: Computerized Systems Used in Clinical Trials (4/99)
- 8. Debarment: List of Debarred Individuals
- Good Laboratory Practice: Guidance for Industry Good Laboratory Practice Regulations Management Briefings Post Conference Report (8/79 - updated 11/98)
- Nonclinical Laboratories Inspected under the GLP Regulations since FY 1990
- 11. Good Laboratory Practice: Guidance for Industry: Good Laboratory Practices Questions and Answers (6/81)
- 12. Good Laboratory Practice Program (Nonclinical Laboratories) Compliance Program 7348.808
- 13. Good Laboratory Practice Program (EPA Data Audit Inspections) Compliance Program 7348.808A
- Good Laboratory Practice (GLP), Proposed Rule, 11/19/1976
- 15. Good Laboratory Practice (GLP) Final Rule, 12/22/1978
- Good Laboratory Practice (GLP), Proposed Rule, 10/29/1984
- 17. Good Laboratory Practice (GLP), Amendment, Final Rule, 9/4/1987
- HIPAA (Health Insurance Portability and Accountability Act of 1996)authorizations: Guidance for Industry: IRB Review of Stand Alone HIPAA Authorizations Under FDA Regulations (10/03)
- ICH E6: Good Clinical Practice (4/96) Guidance for Industry

- 20. ICH E8: Guidance on General Considerations for Clinical Trials published in FR Vol. 62 No. 42 12/17/97
- 21. Informed Consent: Draft Guidance for Institutional Review Boards, Clinical Investigators, and Sponsors: Exception from Informed Consent Requirements for Emergency Research, (3/00)
- 22. Monitoring Clinical Investigations: Guidance for Industry: Guideline for the Monitoring of Clinical Investigations (1/88 updated 11/98)
- 23. Veterinary Clinical Trials: Guidance for Industry No. 58: Good Target Animal Study Practices: Clinical Investigators and Monitors (5/97)
- 24. Veterinary Clinical Trials: Guidance for Industry No. 85: VICH GL9 (5/01) Good Clinical Practice

#### 1028.02 - Bioresearch Inspection Guides

1. Techniques for Detecting False Data During Bioresearch Monitoring Inspections (1/03) is available from DFI (HFC-130) at 301-827-5653.

#### 1029 - MISCELLANEOUS

#### 1029.01 - Computer References

- 1. Clinical Trials: Guidance for Industry: Computerized Systems Used in Clinical Trials (4/99) See <a href="http://www.fda.gov/ora/compliance">http://www.fda.gov/ora/compliance</a> ref/bimo/ffinalcct.htm
- Consensus Standard: Recognized Consensus Standard - Software Lifecycle Processes, see <a href="http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cf">http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cf</a> Standards/Detail.CFM?STANDARD IDENTIFICATION NO=233
- Drug Manufacturing: Compliance Policy Guide Section 425. 100 (7132a.17) Computerized Drug Processing: CGMP Applicability to Hardware and Software (9/87) See <a href="http://www.fda.gov/ora/compliance-ref/cpg/cpg-drg/cpg425-100.html">http://www.fda.gov/ora/compliance-ref/cpg/cpg-drg/cpg425-100.html</a>
- Drug Manufacturing: Compliance Policy Guide Section 425. 200 (7132a.12) Computerized Drug Processing: Vendor Responsibility (9/87) See <a href="http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-200.html">http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-200.html</a>
- Drug Manufacturing: Compliance Policy Guide Section 425. 300 (7132a.15) Computerized Drug Processing: Source Code for Process Control Application Programs (4/87) See <a href="http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-300.html">http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-300.html</a>
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- 7. Drug Manufacturing: Compliance Policy Guide Section 425.500 (7132.08) Computerized Drug Processing: Identification of Persons on Batch Production and Control Records (9/87) See <a href="http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-500.html">http://www.fda.gov/ora/compliance\_ref/cpg/cpgdrg/cpg425-500.html</a>
- 8. Electronic Records: Guidance for Industry, Part 11,

- Electronic Records; Electronic Signatures Scope and Application (8/03)
- FDA Draft Policy for the Regulation of Computer Products (11/89) See <a href="http://www.fda.gov/cdrh/ode/351.pdf">http://www.fda.gov/cdrh/ode/351.pdf</a>
- Glossary of Computerized System and Software Development Terminology (8/95) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/gloss.html">http://www.fda.gov/ora/inspect\_ref/igs/gloss.html</a>
- Medical Device: 510(k)s, PMAs: Guidance for the Content of Premarket Submissions for Software Contained in Medical Devices (5/98) See <a href="http://www.fda.gov/cdrh/ode/57.html">http://www.fda.gov/cdrh/ode/57.html</a>
- Medical Device: Computer-Controlled Potentially High-Risk Medical Devices - List of Device Types (8/99) See <a href="http://www.fda.gov/cdrh/yr2000/cdrh/phrds/phrds.html">http://www.fda.gov/cdrh/yr2000/cdrh/phrds/phrds.html</a>
- Medical Device: Guidance for Industry, FDA Reviewers and Compliance: Off-the-Shelf Software Use in Medical Devices (9/99) See http://www.fda.gov/cdrh/ode/quidance/585.html
- Validation: Final Guidance for Industry and FDA: General Principles of Software Validation (1/02) See <a href="http://www.fda.gov/cdrh/comp/guidance/938.html">http://www.fda.gov/cdrh/comp/guidance/938.html</a>

For a compilation of FDA regulatory and informational references on 21CFR Part 11 Electronic Records; Electronic Signatures, see <a href="http://www.fda.gov/ora/compliance-ref/part11">http://www.fda.gov/ora/compliance-ref/part11</a>.

#### 1029.02 - Computer Inspection Guides

Guide to Inspections of Computerized Systems in Drug Processing (2/83) See http://www.fda.gov/ora/inspect\_ref/igs/csd.html

Guide to Inspections of Computerized Systems in the Food Processing Industry (3/98) See <a href="http://www.fda.gov/ora/inspect\_ref/igs/foodcomp.html">http://www.fda.gov/ora/inspect\_ref/igs/foodcomp.html</a>

Guidance for FDA Investigators: Application of Medical Device GMPs to Computerized Devices and Manufacturing Processes (5/92) See <a href="http://www.fda.gov/cdrh/comp/guidance/247.pdf">http://www.fda.gov/cdrh/comp/guidance/247.pdf</a>

#### 1029.03 - Combination Products

The Medical Device User Fee and Modernization Act of 2002 directed FDA to establish the Office of Combination Products (OCP) to better regulate those products which do not fall neatly into only one of the drug, device, biologic or food categories. For example, a product may be both a device and a drug, such as a bone cement containing an antimicrobial agent. The OCP assigns review responsibility for combination products, in accordance with section 503(g)(1) of the Federal Food, Drug, and Cosmetic Act (the act) (21 U.S.C. 353(g)(l)). The agency is required to assign premarket review responsibility for combination products based on the product's "primary mode of action." For information on how FDA determines product jurisdiction and regulates combination products through intercenter agreements, visit the OCP website and read intercenter agreements between (CBER-CDRH), (CDRH-CDER), (CBER-CDER) and (CFSAN-CDER).

#### 1029.04 - Health Fraud References

To access the FDA CFSAN website on health fraud, see <a href="http://www.cfsan.fda.gov/~dms/wh-fraud.html">http://www.cfsan.fda.gov/~dms/wh-fraud.html</a>.

To obtain Health Fraud Bulletins in the following list, contact your district health fraud monitor listed in the IOM blue pages:

- 1. Request for Limited Inspection Re: Homeopathic Products (Drug Study Bulletin #I 10/26/84)
- 2. Removal of Caffeine and Phenylpropanolamine Combination Products from the OTC Market (Drug Study Bulletin #2 11/9/84)
- 3. Homeopathic Drugs (Drugs & Biologics Fraud Bulletin #3 12/11/84)
- 4. Class Action Cholecystokinin (CCK) (Drugs & Biologics Fraud Bulletin #4 2/22/85)
- 5. Implementation of class action to issue Regulatory Letters to all firms marketing DHEA (Drugs & Biologics Fraud Bulletin #5 3/28/85)
- 6. OTC products on the market offered for Oral Chelation Therapy (Drugs & Biologics Fraud Bulletin #6 - 7/1/85)
- 7. Marine Lipids (Health Fraud Bulletin #7 3/25/88 revision)
- Products containing Nonoxynol-9 which claim to prevent AIDS request for investigation and recommendations (Drugs & Biologics Fraud Bulletin #8 8/30/85)
- 9. "Colostrum" Products (Health Fraud Bulletin #9 1/15/87)
- Fraudulent AIDS Products (Health Fraud Bulletin #10 7/15/87)
- Immune System Products (Health Fraud Bulletin #11 -8/17/87)
- Beta-Carotene for Cancer (Health Fraud Bulletin #12 -Undated)
- Transdermal Patches (Health Fraud Bulletin #13 2/3/89)
- 14. Products for the Treatment of Systemic Candida infections (Health Fraud Bulletin #14 5/l9/89)
- 15. Vitamin & Mineral Products for the Prevention or Treatment of Diseases of the Eye (Health Fraud Bulletin #15 7/13/90)
- 16. Products containing nonoxynol-9 as a single entity; nonoxynol-9 and para-chlorametaxylenol (PCMX) as a combination (Health Fraud Bulletin #16 5/14/91)
- 18. Prescription Homeopathic Products Marketed Overthe-14. Counter (Health Fraud Bulletin #17 -6/9/92)
- 18. Cholesterol Related to Cardiovascular Disease (Health 14. Fraud Bulletin #18 3/22/93)
- 19. Colloidal Silver (Health Fraud Bulletin #19 10/7/94)
- 20. OTC Treatments for Benign Prostatic Hypertrophy (Non-Traditional Drug Bulletin #20 3/18/97)
- 21. Attention Deficit Hyperactivity Disorder (Non-Traditional 14. Drug Bulletin #21 6/27/97)
- 22. Herbal Alternatives to Fen-Phen (Non-Traditional Drug Bulletin #22 10/8/97)
- 23. OTC Drug Products for Impotence and Sexual Dysfunction (Non-Traditional Drug Bulletin #23 6/11/98)

### 1029.05 - International Inspection Guides

1. Guide to International Inspections and Travel (11/02)

#### **SUBCHAPTER 1030 - CFR'S**

#### 1031 - LIST OF PARTS OF TITLE 21 CFR

This subchapter lists the parts of Title 21 Code of Federal Regulations: Food and Drugs, Chapter I, Food and Drug Administration. Title 21 contains nine volumes as follows:

Volume 1 Parts	
Volume 2 Parts	
Volume 3 Parts	
Volume 4 Parts	
Volume 5 Parts	
Volume 6 Parts500-599	
Volume 7 Parts	
Volume 8 Parts	
Volume 9 Parts1300-1399	

Page citations in the following lists refer to Title 21 CFR revised as of April 1, 2003.

### 21 CFR SUBCHAPTER A - GENERAL

 $\begin{tabular}{ll} \textbf{Bolded list entrees} & indicate those regulations reprinted in their entirety in IOM Appendix B. \end{tabular}$ 

Volume 1	
Part	Subject Page
1	General enforcement regulations5
2	General administrative rulings and decisions .15
3	Product jurisdiction21
5	Delegations of authority and organization24
7	Enforcement policy
10	Administrative practices and procedures86
11	Electronic records; electronic signatures121
12	Formal evidentiary public hearing124
13	Public hearing before a public board of
	inquiry142
14	Public hearing before a public advisory
	committee146
15	Public hearing before the Commissioner173
16	Regulatory hearing before the Food and Drug
	Administration175
17	Civil money penalties hearings181
19	Standards of conduct and conflicts of
	interest193
20	Public information196
21	Protection of privacy224
25	Environmental impact considerations240
26	Mutual Recognition of pharmaceutical
	good manufacturing practice reports,
	medical device quality system audit reports,
	and certain medical device product
	evaluation reports; United States and the
	European Community251
50	Protection of human subjects284
54	Financial disclosure by clinical investigators 295
56	Institutional Review Boards298

58	Good laboratory practice for nonclinical		
00	laboratory studies		
60	Patent term restoration321		
70	Color additives328		
71	Color additive petitions		
73	Listing of color additives exempt from		
	certification342		
74	Listing of color additives subject to		
	certification390		
80	Color additive certification430		
81	General specifications and general		
	restrictions for provisional color additives		
	for use in foods drugs, and cosmetics436		
82	Certified provisionally listed colors443		
83-89	[Reserved]		
99	Dissemination of information on unapproved/		
	new uses for marketed drugs, biologics,		
	and devices448		
24 05			

### 21 CFR SUBCHAPTER B - FOOD FOR HUMAN CONSUMPTION

Volume 2

VOIUITIE Z	
100	General
101	Food labeling10
102	Common or usual name for
	nonstandardized foods171
104	Nutritional quality guidelines for foods178
105	Foods for special dietary use182
106	Infant formula quality control procedures184
107	Infant formula190
108	Emergency permit control199
109	Unavoidable contaminants in food for human
	consumption and food-packaging material .209
110	Current good manufacturing practice in
	manufacturing packing, or holding
	human food215
111	Current good manufacturing practice for
	dietary supplements224
113	Thermally processed low-acid foods
	packaged in hermetically sealed containers 225
114	Acidified foods251
115	Shell eggs257
120	Hazard Analysis and Critical Control Point
	(HACCP) systems260
123	Fish and fishery products270
129	Processing and bottling of bottled drinking
	water278
130	Food standards: General282
131	Milk and cream290
133	Cheeses and related cheese products308
135	Frozen desserts359
136	Bakery products
137	Cereal flours and related products371
139	Macaroni and noodle products385
145	Canned fruits
146	Canned fruit juices
150	Fruit butters, jellies, preserves, and related
450	products
152	Fruit pies
155	Canned vegetables460

156	Vegetable juices48	2 2		Current good manufacturing practice in
158	Frozen vegetables48	5		manufacturing, processing, packing, or
160	Eggs and egg products48	8		holding of drugs; general114
161	Fish and shellfish49	3 2	11	Current good manufacturing practice for
163	Cacao products50	9		finished pharmaceuticals116
164	Tree nut and peanut products51	3 2	16	Pharmacy Compounding136
165	Beverages52	1 2	25	Current good manufacturing practice for
166	Margarine53	9		medicated feeds138
168	Sweeteners and table syrups54	2 2	26	Current good manufacturing practice for
169	Food dressings and flavorings54	6		Type A medicated articles145
			50	Special requirements for specific human
_	SUBCHAPTER B - FOOD FOR			drugs149
HUMAN	N CONSUMPTION (CON'T.)	2	90	Controlled drugs157
Volume 3				Drugs; official names and established
170	Food additives			names158
171	Food additive petitions2			
172	Food additives permitted for direct addition to			SUBCHAPTER D - DRUGS FOR
	food for human consumption3	<b>H</b>	IUMAN	USE
173	Secondary direct food additives permitted in	V	olume 5	
	food for human consumption11	6 3	00	General
174	ndirect food additives: General14	7 3	10	New drugs
175	Indirect food additives: Adhesives and	3	12	Investigational new drug application49
	components of coatings14	3	14	Applications for FDA approval to market a
176	Indirect food additives: Paper and			new drug
	paperboard components19	3	15	Diagnostic Radiopharmaceuticals165
177	Indirect food additives Polymers22	3	16	Orphan Drugs167
178	Indirect food additives: Adjuvants,			Bioavailability & bioequivalence
	production aids, and sanitizers34	7		requirements178
179	Irradiation in the production, processing and			Over-the-counter drug products intended
	handling of food43	9		for oral ingestion that contain alcohol193
180	Food additives permitted in food on an			Over-the-counter (OTC) human drugs
	interim basis or in contact with food			which are generally recognized as safe and
	pending additional study44	5		effective and not misbranded195
181	Prior-sanctioned food ingredients45			Antacid products for over-the-counter (OTC)
182	Substances generally recognized as safe .45			human use
184	Direct food substances affirmed as			Antiflatulent products for over-the-counter
	generally recognized as safe46			human use215
186	Indirect food substances affirmed as			Topical antimicrobial drug products for
	generally recognized as safe56			over-the-counter human use216
189	Substances prohibited from use in human			Antiemetic drug products for over-the-
	food			counter human use224
190	Dietary Supplements57			Nighttime sleep-aid drug products for over-
191-199	[Reserved)			the-counter human use
		3		Stimulant drug products for over-the-counter
21 CFR	SUBCHAPTER C - DRUGS:			human use227
<b>GENER</b>		3		Cold, cough, allergy, bronchodilator, and anti-
Volume 4				asthmatic drug products for over-the-counter
200	General	5		human use228
201	Labeling			Internal analgesic, antipyretic, and anti-
202	Prescription drug advertising			rheumatic drug products for over-the-counter
203	Prescription Drug Marketing8			human use251
205	Guidelines for State licensing of wholesale			Topical OTIC drug products for over-the-
200	prescription drug distributors9			counter human use
206	Imprinting of solid oral dosage form			Anorectal drug products for over-the-counter
_55	drug products for human use9			human use261
207	Registration of producers of drugs and listing			Skin protectant drug products for over-the-
_0,	of drugs in commercial distribution10			counter use266
208	Medication Guides for prescription			External Analgesic drug products for
_00	drug products11			over-the-counter human use267
		•		5.5. 5.6 55anto: Haman 466 1111111111111111111111111111111111

349	Ophthalmic drug products for over-the-counter human use	601 <b>606</b>	Licensing
352	Sunscreen drug products for over-the-counter human use	607	blood and blood components44 Establishment registration and product
355	Anticaries drug products for over-the-counter human use284		listing for manufacturers of human blood and blood products
357	Miscellaneous internal drug products for	610	General biological products standards62
	over-the-counter human use289	630	General requirements for blood, blood and
358	Miscellaneous external drug products for		blood products
004	over-the-counter human use293	640	Additional standards for human blood
361	Prescription drugs for human use generally	000	and blood products
	recognized as safe and effective and not misbranded: Drugs used in research300	660	Additional standards for diagnostic substances for laboratory tests11
369	Interpretative statements re warnings on	680	Additional standards for miscellaneous
000	drugs and devices for over-the-counter sale 305	000	products124
370-499	[Reserved]	04 050	
21 CED	SUBCHAPTER E - ANIMAL DRUGS,		SUBCHAPTER G - COSMETICS
	AND RELATED PRODUCTS	700 701	General
Volume 6	AND RELATED PRODUCTS	701	Voluntary registration of cosmetic
500	General5	710	product establishments147
501	Animal food labeling	720	Voluntary filing of cosmetic product
502	Common or usual names for nonstandardized	. 20	ingredient and cosmetic raw material
	animal foods32		composition statements148
509	Unavoidable contaminants in animal food and	740	Cosmetic product warning statements 152
	food-packaging material	741-799	[Reserved]
510	New animal drugs37		
511	New animal drugs for investigational use52		SUBCHAPTER H - MEDICAL
514	New animal drug applications56	DEVICE	
515 500	Medicated Feed Mill License88	Volume 8	
520 522	Oral dosage form new animal drugs	800 801	General
322	Implantation or injectable dosage form new animal drugs	<b>803</b>	Labeling
524	Ophthalmic and topical dosage form new	806	Medical Device Corrections and Removals .55
O <b>L</b> .	animal drugs	807	Establishment registration and device listing
526	Intramammary dosage forms319		for manufacturers and initial importers of
529	Certain other dosage form new animal		devices
	drugs325	808	Exemptions from Federal preemption of State
530	Extra label drug use in animals331		and local medical device requirements74
556	Tolerances for residues of new animal drugs	809	In vitro diagnostic products for human use83
	in food	810	Medical device recall authority90
558 564	New animal drugs for use in animal feeds .357	812	Investigational device exemptions97
564 570	[Reserved] Food additives485	813 814	[Reserved] Premarket approval of medical devices115
570 571	Food additives	<b>820</b>	Quality System Regulation
571 573	Food additives permitted in feed and	821	Medical device tracking requirements 15
070	drinking water of animals497	822	Postmarket surveillance
579	Irradiation in the production, processing,	860	Medical device classification procedures165
	and handling of animal feed and pet food .514	861	Procedures for performance standards
582	Substances generally recognized as safe .515		development
584	Food substances affirmed as generally	862	Clinical chemistry and clinical toxicology
	recognized as safe in feed and drinking		devices
	water of animals540	864	Hematology and pathology devices219
589	Substances prohibited from use in	866	Immunology and microbiology devices240
F00 F00	animal food or feed540	868	Anesthesiology devices278
590-599	[Reserved]	870	Cardiovascular devices300
21 CED	SUBCHAPTER F - BIOLOGICS	872 974	Dental devices
Volume 7	SUBCHAFILM F - DIOLUGICS	874 876	Ear, nose, and throat devices345 Gastroenterology-urology devices357
600	Biological products: general5	878	General and plastic surgery devices379
	g		sisting and placed our golf dovided 111111076

#### 1272-1299 [Reserved] new-drug applications to prescription sale ...11 Expiration of exemptions ......54 201.127 21 CFR CHAPTER II DRUG ENFORCEMENT 1.21 ADMINISTRATION, DEPARTMENT OF 330.1 GRAS: General conditions for GRAS .....195 JUSTICE 330.10 GRAS: Procedures for classifying OTC drugs Volume 9 GRAS, effective and not misbranded, and 1300 for establishing monographs ......198 459

330.3	Imprinting of solid oral dosage form drug products198	369.3	Labeling:Warnings required on drugs exempted from Rx dispensing requirements
206	Imprinting of solid oral dosage form drug products	201.303	of section 503(b)(1)(C)
201.117	Inactive Ingredients53	200.5	Mailings of important information about drugs 5
201.19	Infant - use of term	201.302	Mineral oil: drugs for internal use which
201.128	Intended uses - definition54		contain mineral oil
201.150	Labeling agreements: drug products shipped for processing, labeling or repacking55	330.5 299	Monographs (listing of drug categories)198 Names: official and established names of
1.3	Labeling: Definitions of labeling and label5		drugs158
201.200	Labeling: Disclosure of drug efficacy study	201.2	National Drug Code numbers11
	evaluations56	330.11	NDA deviations from applicable monograph 204
201.17	Labeling: Expiration date location on label15	201.115	New drugs or new animal drugs:
201.66	Labeling: Format and Content requirements 40		exemptions from 502(f)(1)
201.300	Labeling: Glandular preparations58	310.100	New drug status opinions; statement of policy 9
201	Labeling: General Labeling provisions8	310.3(h)	Newness of drug: definition
369.9	Labeling: General warnings re accidental	200.50	Opthalmic preparations and dispensers6
000.0	ingestion by children	330	OTC drugs generally recognized as safe
201.6	Labeling: Misleading statements	000	and effective and not misbranded
201.1	Labeling: Name and place of business of		(OTC monographs)
201.1	manufacturer, packer, or distributor9	330.13	OTC drug monograph ingredients: Conditions
201.62	Labeling: Net quantity of contents35	000.10	for marketing OTC drug monograph
341.70	Labeling of OTC drug products containing		ingredients218
041.70	ingredients used for treating concurrent	330.10	OTC monograph drugs - procedures for
	symptoms (in either a single ingredient or	550.10	classification
		330.14	
1.00	combination drug product)	330.14	OTC monograph drugs - more procedures for classification
1.20	Labeling: Presence of mandatory label	201.00	
001.00	information	201.22	Pediatric studies
201.60	Labeling: Principal Display Panel34	201.21	Phenylalanine as a component of aspartame 16
1.23	Labeling: Procedures for requesting	201.306	Potassium salt preparations for oral
	variations and exemptions from required	040 000	ingestion
004.45	label statements	310.200	Prescription exemption procedure10
201.15	Labeling: Prominence of required statements 14	207	Registration of producers of drugs and
201.61	Labeling: Statement of identity35		listing of drugs in commercial distribution101
201.10	Labeling: Statement of ingredients12	201.314	Salicylates: labeling of drugs preparations65
369.20	Labeling:Warning and caution statements	201.307	Sodium phosphates-package size limitations 63
	recommended for certain drugs306	201.315	
369.21	Labeling: Warning and caution statements		warnings 6
	required by regulations	201.16	Spanish-language version of certain
369.22	Labeling: Warning and caution statements		required statements
	required on preparations containing	340.50	Stimulant products
	habit-forming derivatives of substances316	250.12	Stramonium preparations labeled with
369.8	Labeling:Warning statements in relation to		directions for use in self-medication
	conditions for use		regarded as misbranded150
369.9	Labeling:Warning statement re: accidental	211.132	Tamper evident packaging requirements127
	ingestion by children (general)306	201.304	Tannic Acid
201.309	Labeling: Warning statement for Phenacetin	250.11	Thyroid-preparations for treatment of
	containing preparations		obesity
201.63	Labeling:Warning - Pregnancy/nursing 38	201.319	Water-soluble gums, hydrophilic gums, and
330.2	Labeling:Warning - Nursing		hydrophilic mucilloids as active ingredients .68
201.64	Labeling:Warning re sodium39	201.20	Yellow #5 or Yellow #6
369.10	Labeling:Warnings - conspicuousness of		
	warning statements	1032.02	2 - OTC Final Monographs:
290.5	Labeling:Warnings for controlled drugs160		etical Listing
369.7	Labeling:Warnings required by official		•
	compendia306	Note: Se	e the FDA OTC Monograph web site for mono-
369.4	Labeling:Warnings suggested for drugs by		sued since 4/1/03.
-	formal or informal statements of policy 305	5 1 .5 .6	
		333.350	Acne drugs: labeling223
		348.50	Analgesic (external) labeling268

	ATTORIO OI ERATIONO MANDAE		017.11.10
201.322	Analgesic/antipyretic (internal) alcohol	358.510	Corn and callus remover active ingredients 295
	warning	358.550	Corn and callus remover labeling295
343.80	Analgesic (internal): professional labeling .252	341.70	Cough/Cold concurrent symptoms labeling 233
346.22	Anorectal active ingredient combinations262	341.85	Cough/Cold permitted combination labeling 247
346.16	Anorectal analgesic, anesthetic and	341.90	Cough/Cold products: professional labeling 250
	antipruritic ingredients262	358.710	Dandruff, seborrheic, dermatitis, psoriasis
346.18	Anorectal astringent active ingredients 262		product active ingredients298
346.20	Anorectal keratolytic active ingredients 262	358.720	Dandruff, seborrheic, dermatitis, psoriasis
346.10	Anorectal local anesthetic active ingredients 261	000.720	permitted combinations labeling299
346.52	<u> </u>	358.750	Dandruff, seborrheic, dermatitis, psoriasis
340.52	Anorectal labeling of permitted active	336.730	
040.50	ingredient combinations	057.050	product labeling
346.50	Anorectal product labeling263	357.850	Deodorant (internal) labeling292
346.14	Anorectal protectant active ingredients 262	344.12	Ear drying aid active ingredient260
346.12	Anorectal vasoconstrictor active ingredients 266	344.52	Ear drying aid product labeling260
331.30	Antacids: labeling	344.10	Earwax removal aid active ingredients259
331.80	Antacids: professional labeling214	344.50	Earwax removal product labeling260
357.110	Anthelmintic active ingredients289	341.18	Expectorant active ingredients229
357.150	Anthelmintic labeling290	341.78	Expectorant labeling242
357.152	Anthelmintic package inserts290	348.50	External analgesic labeling268
357.180	Anthelmintic products: professional labeling 291	355.70	Fluoride dentifrice testing procedures289
333.110	Antibiotic (First Aid) active ingredients217	355.55	Fluoride Rinse drug products: labeling 288
333.120	Antibiotic (First Aid) permitted combinations	250.250	Hexachlorophene as a component of drug
000.120	of active ingredients217	200.200	and cosmetic products155
333.150	Antibiotic (First Aid): labeling	201.308	Ipecac syrup: warnings and directions for
333.160	Antibiotic (First Aid): labeling	201.500	over-the-counter sale64
333.100	· ·	242.00	
055.40	combinations	343.80	Internal analgesic professional labeling253
355.10	Anticaries active ingredients285	369	Interpretive statements re warnings on
355.50	Anticaries labeling		OTC drugs
355.55	Anticaries labeling: PDP of all fluoride	201.312	Magnesium sulfate heptahydrate
	rinse drug products		(epsom salt)
355.60	Anticaries professional labeling288	357	Miscellaneous Internal289
336.10	Antiemetic active ingredients224	358	Miscellaneous External293
336.50	Antiemetic products: labeling225	341.20	Nasal decongestant active ingredients229
336.80	Antiemetic products: professional labeling .226	341.80	Nasal decongestant: labeling243
332.10	Antiflatulent active ingredients215	338.10	Night time sleep aid active ingredients226
332.30	Antiflatulent products: labeling216	338.50	Night time sleep aids: labeling226
332.31	Antiflatulent products: professional labeling 216	349.10	Opthalmic astringent active ingredients270
333.210	Antifungal active ingredients220	349.12	Opthalmic demulcent active ingredients270
333.250	Antifungal labeling	349.14	Opthalmic emollient active ingredients270
333.280	Antifungal professional labeling280	349.16	Opthalmic hypertonicity agent ingredients .270
341.12	Antihistamine active ingredients229	349.18	Opthalmic vasoconstrictors270
341.72	Antihistamine products: labeling234	349.20	Opthalmic eyewash ingredients270
201.322	Antipyretic (internal) alcohol warning69	349.50	Ophthalmic product labeling - general271
341.14	Antitussive active ingredients229	349.55	Ophthalmic astringent labeling271
341.74	Antitussive labeling	349.60	Ophthalmic demulcent labeling271
347.10	Astringent active ingredients	349.65	Ophthalmic emollient labeling277
347.10	Astringent labeling	349.70	•
			Ophthalmic hypertonicity product labeling .272
341.16	Bronchodilator active ingredients229	349.75	Ophthalmic vasoconstrictor product
341.76	Bronchodilator labeling	0.40.70	labeling
343.12	Cardiovascular active ingredients252	349.78	Ophthalmic eyewash product labeling273
343.22	Cardiovascular/ Rheumatologic combination	349.79	Ophthalmic labeling of permitted combinations
	active ingredients252		of active ingredients274
201.320	Chlorofluorocarbons and other ozone	349.80	Ophthalmic professional labeling274
	depleting substances - warning statements .68	344	Otic products259
357.210	Cholecystokinetic product active	358.610	Pediculicide active ingredients296
	ingredients	358.650	Pediculicide labeling296
357.250	Cholecystokinetic products: labeling291	343.13	Rheumatologic active ingredients252
357.280	Cholecystokinetic products: professional	343.22	Rheumatologic/cardiovascular combination
	labeling		active ingredients252
369.10	Conspicuousness of warnings306		

347.10	Skin Protectant - astringent active	
	ingredients	.266
347.50	Skin Protectant - astringent labeling	.267
340.50	Stimulant drug products	.227
352.10	Sunscreen active ingredients	.275
352.20	Sunscreen permitted combinations of	
	active ingredients	.275
352.50	Sunscreen principal display panel	.276
352.52	Sunscreen labeling	.277
352.60	Sunscreen permitted combinations labeling	278
333	Topical Antimicrobial	.216
344	Topical Otic	.259
369	Warnings on Drugs and Devices for OTC	
	sale	.305
358.110	Wart remover active ingredients	.294
358.150	Wart remover labeling	