

# Contents

<b>Preface</b>	ix
<b>About the Authors</b>	xi
<b>Chapter 1 Regulation of Preclinical Research</b>	1
A. Introduction	1
B. Animal Use in Biomedical Research and Testing	2
1. The Basic Regulatory Scheme—the Animal Welfare Act and Regulations	2
2. U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training	12
3. Memorandum of Understanding Among APHIS, FDA, and the NIH	13
4. NIH Considerations	14
5. FDA Considerations and Good Laboratory Practices	18
6. CDC Considerations	19
7. State Law	19
8. Conclusion	19
C. Other Regulatory Schemes Applicable to Preclinical Research—Protection of the Environment and Public Health	20
1. Introduction	20
2. EPA Jurisdiction and RCRA	20
3. Applying Environmental Law to Academic Research Facilities	22
4. IACUC Responsibility	23

5. The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 and Select Agents and Toxins	23
D. Other Regulatory Schemes Applicable to Preclinical Research—Occupational Safety and Health Considerations and the Protection of Individuals Conducting Preclinical Research	26
1. Introduction	26
2. OSHA Regulation, Standards, and Resources	27
3. Selected Resource Tools—Chemicals and Biohazards	28
4. Radioactive Materials in the Research Setting	29
E. Conclusion	29
<b>Chapter 2 Federal Regulation of Clinical Research</b>	<b>31</b>
A. Background	32
1. The Role of Clinical Research	32
2. Government Entities That Regulate Clinical Research	33
B. The Roles and Responsibilities of the Parties	38
1. Subject	38
2. Sponsor	38
3. Principal Investigator	39
4. Contract Research Organization	39
5. Monitor	40
6. Institutional Review Board	40
7. Data Monitoring Committee	40
8. Institutional Biosafety Committee	41
C. Premarket Clinical Trial Process	41
1. Drug Trials	41
2. Device Trials	43
3. Prior to Start of Clinical Trial	43
4. Conducting the Trial	52
5. After the Trial	57
D. Enforcement	60
1. FDA Inspections	60
2. Form 483 Observations	61
3. Warning and Untitled Letters	61
4. Administrative Consequences	62
5. Civil and Criminal Liability	64

E. Other Issues	64
1. Postmarket Trials	64
2. Sites and Trials in Foreign Countries	66
3. Expanded Access	68
<b>Chapter 3 Approval of Biotechnology Products for Human Use</b>	<b>71</b>
A. Introduction	72
1. Overview of the FDA Approval Process	72
B. Standard Pathways to Market	77
1. Drugs: The Traditional New Drug Application	77
2. Drugs: The Faster 505(b)(2) Application	84
3. Biological Products	85
4. Medical Devices	91
5. Combination Products	93
C. Expedited Pathways to Market	96
1. Fast Track	96
2. Breakthrough Therapies	97
3. Accelerated Approval	99
4. Priority Review	99
5. Orphan Drug Designation	100
6. Humanitarian Use Device	102
D. Future Pathways to Market	102
<b>Chapter 4 Federal and State Regulation After Approval</b>	<b>105</b>
A. Regulatory Authorities	106
1. Food and Drug Administration	106
2. Office of Inspector General, Department of Health and Human Services	107
3. Department of Justice Civil Division	108
4. Federal Trade Commission	108
5. Securities and Exchange Commission	109
B. Postapproval Responsibilities	109
1. Current Good Manufacturing Practice	109
2. Postapproval Reporting	112
3. Import and Export Requirements	117
4. Regulation of Advertising and Labeling	120
C. Withdrawal of FDA Approval	130
D. False Claims Act	131
1. The Neurontin Case (2004)	132

2. The Serono Laboratories Serostim Settlement (2005)	132
3. The Bristol-Myers Squibb Abilify Settlement (2007)	133
4. The Cephalon Actiq, Gabitril, and Provigil Settlement (2008)	134
5. The AstraZeneca Seroquel Settlement (2010)	135
6. The Allergan Botox Settlement (2010)	136
7. The Abbott Laboratories Depakote Plea Agreement (2012)	137
8. The Amgen Aranesp Settlement (2012)	137
9. The Par Pharmaceuticals Megace ES Settlement (2013)	138
10. The J&J Risperdal Settlement (2013)	139
11. The Genzyme Seprafilm Settlement (2013)	140
12. Endo Pharmaceuticals (2014)	140
13. Astellas Pharma US Inc. (2014)	140
14. Shire Pharmaceuticals (2014)	141
E. Anti-Kickback Statute and Other Illegal Remuneration	141
F. The Physicians Payments Sunshine Act	142
<b>Index</b>	143