

Guidance for Industry

Postmarketing Adverse Event Reporting for Nonprescription Human Drug Products Marketed Without an Approved Application

U.S. Department of Health and Human Services
Food and Drug Administration
Center for Drug Evaluation and Research (CDER)

XXXX 2008
OTC

35 **Guidance for Industry**
 36 **Postmarketing Adverse Event**
 37 **Reporting for Nonprescription**
 38 **Human Drug Products Marketed**
 39 **Without an Approved Application**

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Additional copies are available from
 :
Office of Training and Communications
Division of Drug Information, WO51, Room 2201
10903 New Hampshire Ave.
Silver Spring, MD 20993
Phone: 301-796-3400; Fax: 301-847-8714
druginfo@fda.hhs.gov

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Contains Nonbinding Recommendations

Draft — Not for Implementation

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**Guidance for Industry¹
Postmarketing Adverse Event Reporting for
Nonprescription Human Drug Products Marketed Without an
Approved Application**

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109 This guidance represents the Food and Drug Administration's (FDA's) current thinking on this topic. It
110 does not create or confer any rights for or on any person and does not operate to bind FDA or the public.
111 An alternative approach may be used if such approach satisfies the requirements of the applicable statutes
112 and regulations. If you want to discuss an alternative approach, contact the FDA staff responsible for
113 implementing this guidance. If you cannot identify the appropriate FDA staff, call the appropriate
114 number listed on the title page of this guidance.

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118I. **INTRODUCTION**

119

120 This document provides guidance to industry on postmarketing serious adverse event reporting
121 for nonprescription (over-the-counter (OTC)) human drug products marketed without an
122 approved application. In particular, this document gives guidance on (1) the minimum data
123 elements that should be included in a serious adverse event report, (2) the label that should be
124 included with the report, (3) reporting formats for paper and electronic submissions, and (4) how
125 and where to submit the reports.

126

127 FDA's guidance documents, including this guidance, do not establish legally enforceable
128 responsibilities. Instead, guidances describe the Agency's current thinking on a topic and should
129 be viewed only as recommendations, unless specific regulatory or statutory requirements are
130 cited. The use of the word *should* in Agency guidances means that something is suggested or
131 recommended, but not required.

132

133

134II. **BACKGROUND**

135

136 Public Law 109-462, the Dietary Supplement and Nonprescription Drug Consumer Protection
137 Act, was signed by the President on December 22, 2006.² Public Law 109-462 amends the
138 Federal Food, Drug, and Cosmetic Act (the Act) to add safety reporting requirements for OTC

10¹ This guidance has been prepared by the Office of Surveillance and Epidemiology in the Center for Drug
11 Evaluation and Research (CDER) at the Food and Drug Administration.

12

13² See : <http://www.fda.gov/cder/regulatory/default.htm#Legislation>
14 (http://www.fda.gov/cder/regulatory/public_law_109462.pdf).

15

16

17

139 drug products that are marketed without an approved application under section 505 of the Act
140 (21 U.S.C. 355).³ Before the enactment of Public Law 109-462, only those OTC drugs marketed
141 with an application approved under section 505 of the Act (21 U.S.C. 355) were subject to
142 mandatory postmarketing safety reporting requirements.⁴ As required by section 2(e)(3) of
143 Public Law 109-462, we are issuing this guidance to describe the minimum data elements for the
144 required reports.⁵ This guidance also describes relevant policies and procedures for making these
145 reports.

147 The manufacturer, packer, or distributor⁶ whose name (under section 502(b)(1) of the Act (21
148 U.S.C. 352(b)(1))) appears on the label of an OTC drug marketed in the United States without an
149 approved application (referred to as the *responsible person*) must submit to FDA any report
150 received of a serious adverse event associated with such drug when used in the United States,
151 accompanied by a copy of the label on or within the retail package of such drug (section 760(b)
152 (1) of the Act). In addition, the responsible person must submit follow-up reports of new
153 medical information related to a submitted serious adverse event report that is received within 1
154 year of the initial report (section 760(c)(2) of the Act). Serious adverse event reports received
155 through the address or telephone number described on the product label, as well as all follow-up
156 reports of new medical information, must be submitted to FDA no later than 15 business days
157 after a report of a serious adverse event or the new medical information is received by the
158 responsible person (section 760(c)(1) and 760(c)(2) of the Act). We recommend that all serious
159 adverse event reports received by the responsible person be submitted to FDA within 15 business
160 days of receipt.⁷

20³ Section 760 of the Act (21 U.S.C. 379aa), as amended, provides for mandatory safety reporting for OTC human
21 drug products not subject to applications approved under section 505 of the Act (new drug applications (NDAs) or
22 abbreviated new drug applications (ANDAs)). Accordingly, these new requirements apply to all OTC drug products
23 marketed without an approved application, including those marketed under the OTC Drug Monograph Review
24 process, those not yet subject to a final monograph, and those marketed outside the monograph system. These
25 reporting requirements became effective December 22, 2007.

27⁴ Postmarketing safety reporting requirements for drugs marketed under an approved application, including OTC
28 drugs, are set forth at 21 CFR 314.80 and 314.98.

30⁵ Public Law 109-462 states that “Not later than 270 days after the date of enactment of this Act, the Secretary of
31 Health and Human Services shall issue guidance on the minimum data elements that should be included in a serious
32 adverse event report as described under the amendments made by this Act” (section 2(e)(3)). Public Law 109-462
33 also requires certain postmarketing safety reports for dietary supplements. The Center for Food Safety and Applied
34 Nutrition is issuing a separate guidance on reporting for dietary supplements.

36⁶ Under section 760(b)(2) of the Act, a retailer whose name appears on the label as a distributor may, by agreement,
37 authorize the manufacturer or packer of the OTC drug to satisfy its safety reporting obligations under the Act. If the
38 retailer enters into such an agreement and the retailer complies with its obligation to forward the adverse event
39 reports it receives to the other party (i.e., the manufacturer or packer), the retailer need not report to FDA any
40 serious adverse events forwarded to the manufacturer or packer under the agreement.

42⁷ Section 760(c)(1) of the Act, which contains the 15-day deadline for submitting serious adverse event reports to
43 FDA, expressly applies to serious adverse event reports resulting from information received by the responsible
44 person through the address or telephone number on the product label. Although the Act does not expressly provide
45 a timeframe for serious adverse event reports that the responsible person receives by other means (such as by e-mail
46 or fax), the reporting of such adverse events is required by the plain language of section 760(b)(1) (providing that
47 the responsible person “shall submit . . . *any report received* of a serious adverse event associated with such drug
48 when used in the United States . . .” (emphasis added)). Prompt submission of serious adverse event reports is

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162The information on data elements included in this document is consistent to the extent possible
163with guidance on data elements for a safety report for applicants of approved NDAs, ANDAs,
164and antibiotic applications; manufacturers of marketed prescription drugs for human use without
165approved NDAs or ANDAs; and licensed manufacturers of approved biologic product license
166applications (BLAs).⁸

167

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169**III. MINIMUM DATA ELEMENTS FOR AN INDIVIDUAL CASE SAFETY REPORT**
170**(ICSR)**

171

172 **A. Initial ICSR Submission**

173

174As discussed in section II of this document, section 760(b)(1) of the Act, as amended, requires
175responsible persons to submit to FDA any report received of a serious adverse event associated
176with the use of an OTC drug marketed in the United States without an approved application
177when the product is used in the United States. The person who first notifies the responsible
178person about an adverse drug event is the *reporter*. Reporters can include patients, relatives of
179patients, consumers, doctors, pharmacists, other health care practitioners, or other individuals.

180

181Reporters convey information on adverse events to the responsible person by various means,
182including phone, the Internet, fax, e-mail, or regular mail. Based on the information from the
183reporter and any other information received or obtained on the adverse event, the responsible
184person completes an ICSR in one of the formats described in section V of this document and
185submits it to FDA.

186

187To complete an ICSR, responsible persons should provide all known or reasonably known
188applicable elements on FDA Form 3500A or its electronic equivalent identified by FDA for
189electronic reporting. Applicable elements on FDA Form 3500A include all sections except those
190identified as *for device manufacturers only* (i.e., all sections except D, F, and H). See
191Appendix 1 for the specific elements on FDA Form 3500A.

192

53important for public health reasons. Delayed reporting of some serious adverse events to FDA solely because of the
54medium through which the adverse event was reported to the responsible person would lessen the effectiveness of
55adverse event reporting as a tool for FDA to detect and alert the public to possible safety problems. Therefore, the
56agency strongly recommends that all serious adverse event reports received by the responsible person, regardless of
57the means by which the report was received, be submitted within the same timeframe as reports received by phone
58or mail, i.e., within 15 business days of their receipt by the responsible person.

59

60⁸ See the guidance for industry, *Postmarketing Adverse Experience Reporting for Human Drug and Licensed*
61*Biological Products: Clarification of What to Report*, available on the Internet at
62<http://www.fda.gov/cder/guidance/index.htm>. In March 2001 (66 FR 14391), the Agency also made available a draft
63guidance document on *Postmarketing Safety Reporting for Human Drug and Biological Products Including*
64*Vaccines*. When finalized, the guidance will provide recommendations on this topic. We update guidances
65periodically. To make sure you have the most recent version of guidances, check the CDER guidance page at
66<http://www.gda.gov/cder/guidance/index.htm>.

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193The quality of reports of serious adverse events submitted to FDA is critical for appropriate
 194evaluation of the relationship between the product and adverse event(s).⁹ FDA recommends that
 195responsible persons make a reasonable attempt to obtain complete information for case
 196assessment during initial contacts and subsequent follow-up. FDA encourages responsible
 197persons to use trained health care practitioners to query reporters, computer-assisted interview
 198technology, targeted questionnaires, and/or other methods developed to target specific events
 199that help focus the line of questioning. When the reporter is a patient or consumer, the
 200responsible person should attempt to contact the health care practitioner familiar with the
 201patient’s adverse event, with the patient/consumer’s permission, to obtain further medical
 202information and to retrieve relevant medical records, if appropriate.

203
 204FDA considers all of the applicable elements on FDA Form 3500A or its electronic equivalent as
 205critical for case assessment. In order for FDA to avoid duplication, interpret significance,
 206facilitate follow-up, and detect fraud, at a minimum, the four data elements listed in the bullets
 207below should be included in any serious adverse event report for an OTC drug product that is
 208marketed without an approved application:

- 209
- 210 • an identifiable patient
 - 211 • an identifiable reporter
 - 212 • a suspect drug
 - 213 • a serious adverse event or fatal outcome

214

215The responsible person should actively seek information on any minimum data element not
 216initially provided by the reporter. The responsible person should not submit a report on the
 217incident to FDA unless and until each minimum data element is obtained. The responsible
 218person should maintain records of the event information and its efforts to obtain the basic
 219elements for an individual report in its files.

220

221The responsible person should actively seek follow-up information for the purposes of
 222completing all the applicable elements for an ICSR. The responsible person should document its
 223efforts to obtain additional relevant information. If the responsible person documents these
 224efforts, then the responsible person must maintain the documentation for 6 years and allow FDA
 225to access the records (section 760(e) of the Act).

226

227 *1. Identifiable Patient*

228

229 To have an identifiable patient, there should be enough information to indicate the
 230 existence of a specific patient or consumer. One or more of the following automatically
 231 qualifies a patient as identifiable: age (or age category, e.g., adolescent, adult, elderly),
 232 gender, initials, date of birth, name, or patient identification number. A report stating that
 233 “an elderly woman had anaphylaxis” or “a young man experienced anaphylaxis” would
 234 be sufficient. If a report received by the responsible person refers to groups of unknown
 235 size, such as “some” or “a few” college students got anaphylaxis, the responsible person
 236 should follow up to find out the number and then submit a separate report to FDA for

72⁹ See the guidance for industry on *Good Pharmacovigilance Practices and Pharmacoepidemiologic Assessment*,
 73available at <http://www.fda.gov/cder/guidance/index.htm>.

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237 each identifiable patient. The responsible person should distinguish each patient so that it
238 is clear that each ICSR is not a duplicate report of a single adverse event.

239

240 Patients should not be identified by name or address when reporting to FDA. Instead, the
241 responsible person should assign a code (e.g., patient initials) to each ICSR. The
242 assigned code will permit the responsible person to cross-reference with identifying
243 information and contact information in the event follow-up is sought.

244

2. Identifiable Reporter

245

246

247 A reporter is the person who notifies the responsible person about the serious adverse
248 event. A reporter can be the patient, consumer, family member, doctor, pharmacist, other
249 health care practitioner, or other individual. To meet the minimum requirement for an
250 identifiable reporter, the responsible person should obtain sufficient information to
251 indicate the existence of a specific person who purports to have actual knowledge about
252 the patient, adverse event and drug involved. One or more of the following automatically
253 qualifies a reporter as identifiable: a personal identifier (e.g., name), professional
254 identifier (e.g., health profession), or contact information (e.g., e-mail address, phone
255 number).

256

257 Individual judgment will be needed at times to decide whether or not a reporter should be
258 considered identifiable for reporting purposes. Care should be taken to avoid submission
259 of reports based on rumor (e.g., “my neighbor told me that a friend of his heard...”). The
260 responsible person should attempt to obtain sufficient information for the responsible
261 person to follow-up, such as a phone number or e-mail address of the responsible person.

262

263 If the reporter requests that the responsible person not forward their contact information
264 to FDA, the responsible person can submit a report without specific identification of the
265 reporter provided that the responsible person maintains the contact information so that the
266 responsible person can contact the reporter either upon request by FDA or on its own
267 initiative. For these reports, the responsible person should fill in the *reporter identity*
268 *fields* in an ICSR with a statement such as “Requested Anonymity.”

269

3. Suspect Drug

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271

272 To meet the minimum requirement for a suspect drug, the responsible person should have
273 information on the active ingredient(s) used by the patient (e.g., acetaminophen and
274 phenylephrine hydrochloride). The minimum requirement for a suspect drug has not
275 been met if the reporter cannot provide sufficient information for the responsible person
276 to ascertain the active ingredient(s) used by the patient. For example, it would be
277 insufficient for the reporter to provide a brand family name under which multiple
278 products with different active ingredients are marketed, but not provide other product
279 attributes to permit identification of the active ingredient.

280

281 For reporting purposes, an ICSR should describe the known product attributes (e.g.,
282 dosage form, strength, color, SKU, NDC, lot number). If a serious adverse event

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283 involves multiple suspect drug products that are manufactured, packaged, or distributed
284 by the same responsible person, the responsible person should submit only one ICSR,
285 according to the safety reporting requirements applicable to the drug product considered
286 most suspect by the reporter.¹⁰ If the reporter views each product as equally suspect, the
287 responsible person should submit only one ICSR, according to the safety reporting
288 requirements applicable to the drug product that is first alphabetically. In either case, the
289 ICSR would include information on all suspect drug products with one manufacturer
290 report number.

291

292 If the serious adverse event is associated with an OTC drug product(s) marketed without
293 an approved application and a dietary supplement(s) that is also manufactured, packaged,
294 or distributed by the same responsible person, and the reporter views each product as
295 suspect, the responsible person should submit one copy of the same ICSR about the
296 serious adverse event to both CDER and to CFSAN. The ICSR should identify both
297 suspect products and use one manufacturer report number.

298

299 If a serious adverse event involves multiple suspect drug products that were
300 manufactured, packaged or distributed by more than one responsible person (e.g.,
301 manufacturer A and B), and if the event is reported to one of the responsible persons
302 (manufacturer A), then that responsible person (manufacturer A) should submit an ICSR
303 to FDA on the serious adverse event that describes detailed information, including
304 information about manufacturer B's product(s) and a copy of the label of manufacturer
305 A's suspect product(s) (see Section IV of this document). In such a case, manufacturer A
306 should send manufacturer B a copy of the submitted FDA Form 3500A, including
307 manufacturer A's report number. In this case, manufacturer B should submit its own
308 ICSR and a copy of the label of its suspect product(s), citing manufacturer A's report
309 number in the narrative section (i.e., section B.5 for reports submitted using FDA Form
310 3500A or its equivalent in the electronic format).

311

312 *4. Serious Adverse Event*

313

314 *A serious adverse event*, as defined in section 760(a)(3) of the Act, must have one or
315 more of the following patient outcomes or, based on reasonable medical judgment,
316 require a medical or surgical intervention to prevent one of the following patient
317 outcomes:

318

- 319 • death
- 320 • a life-threatening experience
- 321 • inpatient hospitalization
- 322 • a persistent or significant disability or incapacity
- 323 • a congenital anomaly or birth defect

324

83¹⁰ See section 760 of the Act (for OTC drug products marketed without an approved application), 21 CFR 310.305
84 (for prescription drug products marketed without an approved application), 21 CFR 314.80 (for drug products
85 marketed under an NDA), 21 CFR 314.98 (for drug products marketed under an ANDA), 21 CFR 314.540 (for drug
86 products approved under Subpart H), or 21 CFR 600.80 (for drug products marketed under a BLA).

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325 Inpatient hospitalization includes initial admission to the hospital on an inpatient basis,
326 even if released the same day, and prolongation of an existing inpatient hospitalization.

328 Examples of serious adverse events that based on reasonable medical judgment should be
329 treated medically or surgically to prevent one of the listed outcomes, include allergic
330 bronchospasm that calls for intensive treatment in an emergency room or at home, blood
331 dyscrasias or convulsions that do not result in inpatient hospitalization, or the
332 development of drug dependency or drug abuse.

334 For reporting purposes, a serious adverse event should, at a minimum, be described in
335 terms of signs (including abnormal laboratory findings), symptoms, or disease diagnosis
336 for purposes of reporting. Thus, a report stating that a patient “experienced unspecified
337 injury” or a patient “suffered irreparable damages” would not be specific enough. If the
338 reporter does not provide any signs, symptoms, or diagnosis, responsible persons should
339 obtain more information from that person, the patient, or (with the patient’s permission)
340 medical professionals who treated the patient. A report of a death, even without
341 information about events that led to the death, meets the minimum description of a
342 serious adverse event and should be reported to FDA. Responsible persons should also
343 provide any available information on the event(s) that led to the death.

345 As part of the serious adverse event report, we encourage, as appropriate, attachment of
346 the following: (1) hospital discharge summaries, (2) autopsy reports, (3) relevant
347 laboratory data, and (4) other critical clinical data.

349 The ICSR must be submitted within 15 business days of receipt of the report of the serious
350 adverse event received through the address or phone number on the label (section 760(c)(1) of
351 the Act). The date the responsible person receives the four basic elements (i.e., identifiable
352 patient, identifiable reporter, suspect drug, serious adverse event) is Day 0 of the 15-business-day
353 time clock and should be entered into item G.4 of FDA Form 3500A or its electronic equivalent.

355 Although the Act does not expressly require a responsible person to take action in the event that
356 it receives reports of a serious adverse event in which the reporter identifies the suspect drug as
357 one manufactured, packaged, or distributed by another responsible person, we recommend that
358 such reports be promptly forwarded to that other responsible person. A responsible person who
359 receives a report of an adverse event regarding one of its products from another responsible
360 person must submit an ICSR to FDA within the same timeframe applicable to any report
361 received from a reporter, unless the ICSR has already been submitted to FDA by the first
362 responsible person (see section III.A.3 of this document).

364 If a responsible person does not initially receive sufficient data for a report, but subsequently
365 receives additional information completing the four basic elements concerning a serious adverse
366 event, then an initial report should be submitted within 15 business days of the date the
367 additional information was received, with the date that the additional information was received
368 entered into item G.4 of FDA Form 3500A or its electronic equivalent.

B. Submission of New Medical Information (Follow-up Reports)

371The responsible person must submit a follow-up report when new medical information related to
372a submitted serious adverse drug event report is received by the responsible person within 1 year
373of the initial report (section 760(c)(2) of the Act). Follow-up reports must be submitted no later
374than 15 business days after the new information is received by the responsible person (section
375760(c)(2) of the Act). Although not required under the statute, we recommend that responsible
376persons also submit a follow-up report if they receive new medical information related to a
377submitted serious adverse drug event after the 1-year period. Responsible persons should
378provide a current, comprehensive understanding of the serious adverse drug event, rather than
379providing only the changes and/or updates to the initial report. Relevant information from the
380initial report should be combined with the follow-up information to present an accurate and
381comprehensive, but concisely written, description of the event as it is understood at the time of
382the follow-up report. This description and note of any changes or corrections to any fields
383should be provided in section B.5 for reports submitted using FDA Form 3500A or its equivalent
384in the electronic format.

386Any information from the initial report later found to be inaccurate should not be repeated in the
387follow-up report. All new information, including correction of previously submitted inaccurate
388information that is included in a follow-up report, should be highlighted. To highlight new
389information or corrections included in follow-up reports submitted using FDA Form 3500A, use
390an asterisk, underline the information, or use other appropriate methods to indicate which
391information is new. For example, if new dose information is received, it should be included in
392field C.1, and a statement such as “Dose has been updated,” underlined or highlighted with an
393asterisk, should be included in section B.5. Any unchanged attachments submitted with an initial
394report (e.g., hospital discharge summaries, lab results) should not be resubmitted with a follow-
395up report.

397If a new, serious adverse event occurs that is associated with the initial serious adverse event, a
398follow-up report should be submitted. However, if the new, serious adverse event is not
399associated with the initial serious adverse event (e.g., occurs after a subsequent administration of
400the product), an initial report with a new manufacturer report number should be submitted for the
401new, serious adverse event and the manufacturer report number for the original serious adverse
402event should be included in the narrative section of the report. In these cases, the responsible
403person should consider the clinical relevance of the serious adverse events to each other when
404determining whether an initial report or follow-up report should be submitted.

406Follow-up reports should use the same identification number as used in the initial ICSR (i.e., the
407number in section G.9 for reports submitted using FDA Form 3500A). This allows the initial
408ICSR and all of its follow-up reports to be linked in FDA’s Adverse Event Reporting System
409database (AERS) (see section V.B of this document for information on AERS). The
410identification number used to submit follow-up reports to FDA should be the same as the
411identification number used in the initial ICSR, even if the responsible person reassigns
412identification numbers to internal files for submitted ICSRs (e.g., if duplicate reports are
413consolidated, or data handling procedures are changed). No characters should be added to the
414initial manufacturer report number on submitted reports to denote that the report is a follow-up
415or to denote the sequence of the reports. The initial identification number of the follow-up
416reports should continue to be used, but the reassigned internal identification number can be noted

417in the narrative section of the follow-up report (e.g., “This event has been reassigned Company A
418ID number COA12345”).

421**IV. SUBMITTING THE LABEL**

423Each ICSR of a serious adverse event associated with an OTC drug marketed in the United
424States without an approved application must be accompanied by a copy of the label on or within
425the retail package of the drug (see section 760(b)(1) of the Act). The labels submitted with the
426report should include a representative copy of the current full outer carton/container label and
427immediate container label, including the Drug Facts panel and the principal display panel. For
428ICSRs submitted on paper (FDA Form 3500A), responsible persons should submit legible paper
429copies of these labels, no smaller than actual size, as an attachment to the form. For ICSR
430submitted in an electronic format, labels should be submitted in an appropriate electronic format
431that FDA can process, review, and archive (see section V.B of this document). A copy of the
432label should not be resubmitted with a follow-up report unless there have been any changes to
433the label since the initial submission.

436**V. REPORTING FORMATS FOR PAPER OR ELECTRONIC SUBMISSIONS**

438As described in section III of this document, under sections 760(b)(1) and (c)(2) of the Act,
439responsible persons must submit initial and follow-up ICSRs of serious adverse events associated
440with the use of OTC drugs marketed in the United States without an approved application when
441the products are used in the United States. In addition, as described in section IV of this
442document, under section 760(b)(1) of the Act, the report must be accompanied by a copy of the
443label on or within the retail package of the drug. Responsible persons should use an FDA Form
4443500A or an electronic format to submit the ICSRs, as described below.

446This section describes how to (1) acquire, generate, complete, and submit an FDA Form 3500A
447for reporting ICSRs and (2) submit ICSRs and the copies of the label in an electronic format.

449 **A. Paper Submission (FDA Form 3500A)**

451 *1. Acquiring Copies of FDA Form 3500A*

453 The form can be acquired from:

- 455 • Appendix 1 of this guidance
- 456
- 457 • the Internet at <http://www.fda.gov/medwatch/getforms.htm> or
- 458 <http://www.fda.gov/opacom/morechoices/fdaforms/OC.html>
- 459
- 460 • CDER’s Division of Drug Information:

462 — By e-mail: druginfo@fda.hhs.gov

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— By phone: 1-888-INFO-FDA
1-888 463-6332 or (301) 827-4570

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— By mail: Division of Drug Information
5600 Fishers Lane, HFD-240
Rockville, MD 20857

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2. Generating Copies of FDA Form 3500A

472

Copies of the form can be generated by:

474

475

- Photocopying a blank FDA Form 3500A

476

477

- Producing a printed facsimile of FDA Form 3500A

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479

— Generated by Fillable Forms Software at
http://www.fda.gov/medwatch/safety/FDA-3500A_Fillable_08-16-2006.pdf and
included in Appendix 1.

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— Generated by commercial software that can be used after the format is agreed to in
advance by FDA. For details see item 4 at
http://www.fda.gov/medwatch/report/instruc_10-13-06.htm#obtain.

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3. Completing FDA Form 3500A

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All FDA Form 3500A submissions should be legibly printed or typewritten and completed
with a minimum font size of 8 point. Legible photostatic copies can be submitted. However,
visual contrast and paper opacity should be adequate to ensure clear readable archival
images. A form reporting a serious adverse event associated with the use of an OTC drug
product should have “OTC Product” checked in field G5 of the form. FDA encourages
responsible persons to use an FDA assigned national drug code (NDC) number as the product
identifier in field C9 of the form. The NDC number is the most useful product identifier for
FDA. Alternatively, if the suspect OTC drug product does not have an FDA-assigned NDC
number, any other standard product identification code or number should be entered in field
C9. For additional information, see Instructions on completing FDA Form 3500A at
http://www.fda.gov/medwatch/report/instruc_10-13-06.htm.

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4. Submitting FDA Form 3500A

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Completed FDA Form 3500A should be sent to:

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Central Document Room
Center for Drug Evaluation and Research
Food and Drug Administration
5901-B Ammendale Road

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Contains Nonbinding Recommendations

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509 Beltsville, MD 20705-1266

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511 Do not include a cover letter with the submission; all information should be included in the
512 FDA Form 3500A and in attachment(s), if any.

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514 **B. Electronic Submission**

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516The AERS system is a computerized information database designed to support FDA's
517postmarketing safety surveillance program for all marketed drug and biologic products excluding
518blood components and vaccine products. FDA has implemented the regulatory and
519infrastructure changes for full-scale implementation to accommodate electronic submissions of
520ICSRs and ICSR attachments.

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522To fulfill the submission requirements of section 760 of the Act, responsible persons can
523complete and submit electronic ICSRs with the full outer carton/container and immediate
524container label, including the Drug Facts panel and principal display panel, as electronic ICSR
525attachments.

526

527For information on electronic submission of ICSRs and ICSR attachments, see FDA's draft
528guidance for industry entitled *Providing Regulatory Submissions in Electronic Format –*
529*Postmarketing Individual Case Safety Reports*, available on the Internet at
530<http://www.fda.gov/cder/guidance/5161dft.pdf>. In addition, technical specification associated
531with the draft guidance will be provided as stand alone documents and may be updated
532periodically. To ensure that you have the most recent version of the stand alone documents,
533check CDER's guidance web page at <http://www.fda.gov/cder/regulatory/ersr/#Postmarketing>.

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Contains Nonbinding Recommendations

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APPENDIX 1: FDA FORM 3500A

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536A downloadable version of FDA Form 3500A is available on the Internet at

537<http://www.fda.gov/medwatch/SAFETY/3500A.pdf>. A fillable version of the form (and
538instructions) is available at http://www.fda.gov/medwatch/safety/FDA-3500A_fillable.pdf.

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540A copy of FDA Form 3500A is provided for reference to specific data elements discussed in this
541guidance.

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Contains Nonbinding Recommendations

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542[Insert PDF version of Form FDA 3500A here]

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