Guidance for Industry

Formal Dispute Resolution: Scientific and Technical Issues Related to Pharmaceutical CGMP

> U.S. Department of Health and Human Services Food and Drug Administration Center for Drug Evaluation and Research (CDER) Center for Biologics Evaluation and Research (CBER) Center for Veterinary Medicine (CVM) Office of Regulatory Affairs (ORA) Pharmaceutical CGMPs January 2006

OMB Control Number 0910-0563 Expiration Date: 09/30/2011 (Note: Expiration date updated 05/04/2011) See additional PRA statement in Section VI of this guidance

Guidance for Industry Formal Dispute Resolution: Scientific and Technical Issues Related to Pharmaceutical CGMP

Additional copies of this Guidance are available from

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Internet: http://www.fda.gov/cder/guidance/index.htm.

or

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U.S. Department of Health and Human Services Food and Drug Administration Center for Drug Evaluation and Research (CDER) Center for Biologics Evaluation and Research (CBER) Center for Veterinary Medicine (CVM) Office of Regulatory Affairs (ORA) Pharmaceutical CGMPs January 2006

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Guidance for Industry¹

Formal Dispute Resolution: Scientific and Technical Issues Related to Pharmaceutical CGMP

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

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I. INTRODUCTION

18 This document is intended to provide guidance to manufacturers of veterinary and human

drugs, including human biological drug products, on how to resolve disputes of scientific

and technical issues relating to current good manufacturing practice (CGMP) requirements.

21 This document is not intended to cover medical devices regulated by the Center for Devices

and Radiological Health (CDRH) or foods or dietary supplements regulated by the Center

23 for Food Safety and Applied Nutrition (CFSAN).

24

25 Disputes related to scientific and technical issues may arise during FDA inspections of

26 pharmaceutical manufacturers to determine compliance with CGMP requirements or during

27 the Agency's assessment of corrective actions undertaken as a result of such inspections. As

these disputes may involve complex judgments and issues that are scientifically or

technologically important, it is critical to have procedures in place that will encourage open,

30 prompt discussion of disputes and lead to their resolution. This guidance describes

31 procedures for raising such disputes to the Office of Regulatory Affairs (ORA) and center

32 levels and for requesting review by the Dispute Resolution Panel for Scientific and

33 Technical Issues Related to Pharmaceutical CGMP (DR Panel).

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35 Manufacturers are encouraged to seek clarification of scientific or technical issues with the

36 inspection team at any time during an inspection. Although there are existing processes to

37 encourage dialogue between FDA and manufacturers, the processes described in this document

¹ This guidance has been prepared by the Dispute Resolution Working Group formed as part of the August 2002 FDA Initiative, Pharmaceutical cGMPs for the 21st Century: A Risk-Based Approach. The Working Group included representatives from the Center for Drug Evaluation and Research (CDER), the Center for Biologics Evaluation and Research (CBER), the Center for Veterinary Medicine (CVM), and the Office of Regulatory Affairs (ORA).

apply to CGMP questions raised during inspections and are intended to supplement the dispute
 resolution processes currently in place, including:

- 21 CFR 10.75, Internal Agency Review of Decisions. Allows manufacturers to ask for a
 review of Agency decisions at each successive supervisory level through the chain of
 command, ending with the FDA Commissioner's office.
- 44
- CDER/CBER guidance for industry entitled *Formal Dispute Resolution: Appeals Above the Division Level.* Describes procedures a sponsor may use to formally appeal disputes
 to the office or center level on scientific and procedural issues that arise during drug
 development, new drug review, and post-marketing oversight processes. The guidance
 may be found on CDER's and CBER's Web sites.²
- 50
- CVM guidance for industry #79 entitled Dispute Resolution Procedures for Science-Based Decisions on Products Regulated by the Center for Veterinary Medicine (CVM), July 2005. Describes procedures for handling requests for internal review of scientific controversies relating to decisions affecting animal drugs or other products that are regulated by CVM. The guidance may be found on CVM's Web site.³
- Investigations Operations Manual (IOM), Chapter 5, Subchapter 510, Sections 512
 (Report of Observations) and 516 (Discussions with Management). Describes processes
 for discussing inspectional observations with a manufacturer. The IOM is available on
 ORA's Web site.⁴
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For the purposes of this document, the term *manufacturer*⁵ includes any domestic or foreign
 applicant or manufacturer of a human or veterinary drug, or human biological drug product
 regulated by the Agency under the Federal Food, Drug, and Cosmetic Act (the Act) or section

- 65 351 of the Public Health Service Act (the PHS Act).
- 66

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

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73 II. SCOPE OF THE GUIDANCE74

² The CDER/CBER guidance can be found on the Internet at <u>http://www.fda.gov/cder/guidance/index.htm</u> and <u>http://www.fda.gov/cber/gdlns/dispute.htm</u>.

³ The CVM guidance can be found on the Internet at: <u>http://www.fda.gov/cvm/Guidance/published.htm#79</u>.

⁴ The IOM can be found on the Internet at: <u>http://www.fda.gov/ora/inspect_ref/iom/iomtc.html</u>.

⁵ The activities of a manufacturer encompass the processes and functions described in 21 CFR 207.3(8), 21 CFR 210.3(12), and 21 CFR 600.3(t).

- 75 The policies and procedures described in this guidance document cover all disputes on scientific
- 76 or technical issues related to CGMP that arise as the result of CGMP and preapproval
- 77 inspections (PAI) for manufacturers of veterinary and human drug products, including related
- 78 Active Pharmaceutical Ingredients (APIs). For disputes that arise during prelicense and
- 79 preapproval inspections for human biological drug products regulated by CBER or for
- 80 application review issues that arise during PAI inspections for human or veterinary drug
- 81 products, the existing CDER/CBER and CVM guidances listed in Section I of this document
- 82 should continue to be used.
- 83

84 This guidance does not cover disputes over procedures or administrative matters that may arise 85 during the inspection process. At any time, a manufacturer may informally raise a procedural or 86 administrative matter with ORA or with the CDER, CBER, or CVM Ombudsman, in accordance 87 with 21 CFR 10.75. The procedures described in this guidance do not apply to such informal

- 88 dispute resolution through the CDER, CBER, or CVM Ombudsman.
- 89
- 90 If a dispute involves a combination product including a device component, the dispute may be addressed through CDRH's dispute resolution process, depending on the nature of the dispute.⁶
- 91
- 92

93 III. **DISPUTE RESOLUTION PROCESS** 94

- 95 During inspections of manufacturers, investigators are expected to make every reasonable effort
- 96 to discuss observations relating to manufacturing quality as they are observed, or on a daily basis
- 97 to minimize surprise, errors, and misunderstandings when a Form FDA 483 is issued. At the
- 98 conclusion of an inspection, investigators will normally meet with the manufacturer's 99
- management to again discuss observations and solicit views and additional relevant information.
- 100 These processes are described in detail in the Investigations Operations Manual (IOM), Sections
- 101 512 and 516, as listed in Section I of this document.
- 102
- 103 When a scientific or technical issue arises during an inspection, we recommend that a
- 104 manufacturer initially attempt to reach agreement on the issue informally with the investigator.
- 105 A manufacturer should discuss with the investigator any observation that the manufacturer
- 106 believes is not justified from a scientific or technical standpoint. As appropriate, the investigator
- 107 can consult with FDA management or program officials, or appropriate product or technical
- 108 experts. The investigator may invite the company to participate in certain consultative
- 109 discussions. If agreement on the issue is not reached with the investigator prior to issuance of
- 110 the Form FDA 483, a manufacturer can formally request dispute resolution after the investigator
- 111 issues the Form FDA 483.
- 112
- 113 Certain scientific or technical issues may be too complex or time-consuming to resolve during
- 114 the inspection. If resolution of a scientific or technical issue is not accomplished through
- 115 informal mechanisms prior to the issuance of a Form FDA 483, manufacturers can use the formal
- 116 two-tiered dispute resolution process described in this guidance.

⁶ CDRH guidance document, Resolving Scientific Disputes Concerning the Regulation of Medical Devices, A Guide to Use of the Medical Devices Dispute Resolution Panel; Final Guidance for Industry and FDA, July 2, 2001.

117 118 119	• Tier one of the formal dispute resolution process refers to scientific or technical issues raised to the ORA and center levels.
120 121	• Tier two of the formal dispute resolution process refers to scientific or technical issues raised to the DR Panel.
122	These processes are described in detail in the following subsections.
123 124 125 126	A. Tier-One Dispute Resolution at the Office of Regulatory Affairs and Center Levels
127 128 129 130 131	Pharmaceutical manufacturers can formally dispute the scientific or technical basis for CGMP inspectional observations after issuance of a Form FDA 483. In such cases, the formal dispute resolution process starts in the appropriate <i>ORA unit</i> ⁷ as listed below and may advance to the applicable center.
132 133 134	• For domestic manufacturers of veterinary and human drugs, the formal dispute resolution process begins in the appropriate district office, ORA.
135 136 137	• For foreign manufacturers of veterinary and human drugs, the formal dispute resolution process begins in the Division of Field Investigations, ORA.
138 139 140 141	• For domestic or foreign manufacturers of human biological drug products inspected by Team Biologics, the formal dispute resolution process begins in the Office of Enforcement, ORA.
142 143 144 145 146 147	A manufacturer should seek clarification of a disputed scientific or technical issue within 30 days of issuance of the Form FDA 483. (FDA defines <i>days</i> to mean calendar days throughout this guidance.) FDA may refuse to address a dispute resolution request not raised during this time frame. The Agency, at its discretion, may contact the manufacturer to obtain additional information and/or seek clarification.
148 149 150	If a manufacturer disagrees with the scientific or technical basis for an observation listed by an investigator on a Form FDA 483, the following steps may be taken:
150 151 152 153 154	1. The manufacturer may file a written request for formal dispute resolution with the appropriate ORA unit as listed above. The manufacturer should provide all supporting documentation and arguments for review.
154 155 156 157	2. The appropriate ORA unit may evaluate the written request for formal dispute resolution, and may include Agency staff not previously involved in the dispute, as appropriate.

⁷ For the purposes of Sections III A and B in this document, the phrase *ORA unit* will refer to the district office, the Division of Field Investigations, or the Office of Enforcement, as appropriate.

159	If the ORA unit agrees with the manufacturer,
160 161 162 163 164	• The ORA unit will issue a written response to the manufacturer within 30 days of receipt of the request, noting its agreement with the manufacturer and resolution of the dispute. The resolution may take the form of a letter. It may also take the form of an addendum to the existing Form FDA 483.
164 165 166 167	• All disputes resolved at the ORA level will be copied to the relevant program center for information and public dissemination following appropriate redaction.
	If the ORA unit disagrees with the manufacturer,
170 171 172 173 174	• The ORA unit will issue a written response to the manufacturer generally within 30 days of receipt of the request. Responses that disagree with a manufacturer's position will incorporate a review and decision by the relevant program center, which may require additional time as described below.
175 176 177 178	• The written response will be copied to the relevant program center for information and public dissemination after appropriate redaction, in accordance with applicable requirements.
179 180 181	If the ORA unit is unable to complete its review of the request and respond within 30 days, the ORA unit will notify the manufacturer, explain the reason for the delay (which may include the need for an additional 30 days for center review), and discuss the time frame for completing the review.
	3. If a manufacturer disagrees with the tier-one decision, the manufacturer can appeal that decision to the DR Panel.
180 187 188 189	B. Tier-Two Dispute Resolution with the DR Panel on Scientific and Technical Issues
190 191 192	The DR Panel provides a formal way for manufacturers to defend the science in their manufacturing and quality control processes before a neutral panel of experts and to appeal an ORA and center-level decision concerning the science underlying the inspectional observation.
195 196 197 198 199	The DR Panel resides at the Office of the Commissioner. The DR Panel considers requests for tier-two dispute resolution by manufacturers and provides an opportunity for a manufacturer to present its case in support of its position on a scientific or technical issue. The DR Panel's membership includes representatives from each of the program centers and ORA, as well as the Chair of the FDA Council on Pharmaceutical Quality, but will not include decision makers who have addressed the disputed issue at the ORA and center level.
	If a manufacturer disagrees with the tier-one decision in the formal dispute resolution process, the manufacturer can file a written request for formal dispute resolution by the DR Panel. The

203 manufacturer should provide the written request for formal dispute resolution and all supporting 204 documentation and arguments to the DR Panel for review within 60 days from issuance of the 205 tier-one decision. 206 207 The DR Panel will evaluate the written request for formal dispute resolution. The DR Panel will 208 determine whether or not to consider the specific issue in the appeal. If necessary, additional 209 internal and external experts, as well as attorneys from the Office of Chief Counsel (OCC), may 210 be added to the DR Panel to facilitate evaluation of the specific issue. 211 212 If the DR Panel determines that the request is appropriate for review, it will schedule a meeting 213 to discuss the issue within 90 days. The DR Panel may communicate with the manufacturer at 214 its discretion and may request the manufacturer to be present during the meeting. 215 216 If the DR Panel agrees with the manufacturer on the issue, 217 218 • The executive secretary of the DR Panel will issue a written response to the manufacturer 219 within 30 days of the meeting, noting its agreement with the manufacturer and resolution 220 of the dispute. 221 222 • All disputes resolved at the DR Panel level will be copied to the relevant FDA units for 223 their information and public dissemination after appropriate redaction, in accordance 224 with applicable requirements. 225 226 If the DR Panel disagrees with the manufacturer on the issue, 227 228 • The executive secretary of the DR Panel will issue a written response to the manufacturer 229 within 30 days of the meeting, noting its decision on the issue, except as provided below. 230 231 • The executive secretary of the DR Panel will notify the relevant FDA units of the DR 232 Panel's decision for their information and public dissemination after appropriate 233 redaction, in accordance with applicable requirements. 234 235 If the DR Panel determines that the request does not qualify for review (see Section IV), the 236 executive secretary of the DR Panel will notify the manufacturer in writing within 30 days of 237 receipt of the appeal and communicate the DR Panel's decision to the program offices. 238 239 If FDA is unable to complete its review of the request and respond within 30 days, the executive 240 secretary of the DR Panel will notify the manufacturer, explain the reasons for the delay, and 241 discuss the time frame for completing the review. 242 243 **C**. How to Request Formal Dispute Resolution 244 245 All Agency decisions in the formal dispute resolution process will be based on the 246 manufacturer's documentation that was available at the time of the inspection, unless a

247 manufacturer can provide a reasonable explanation why it did not present relevant information

248 249 250 251	as par	g the inspection or the manufacturer was specifically requested to provide new information t of the Agency's dispute resolution review. Submission of new information may result in spute being returned to an earlier point in the process, as the Agency deems appropriate.
251 252 253	The fo	ollowing list of addresses can be used to request formal dispute resolution.
254 255 256	1.	For a tier-one dispute resolution request from domestic manufacturers of veterinary and human drugs, the request should be submitted to:
257 258		Director of the district office responsible for the inspection The following Internet site lists district office addresses:
259 260		http://www.fda.gov/ora/inspect_ref/iom/iomoradir.html.
261 262 263	2.	For a tier-one dispute resolution request from foreign manufacturers of veterinary and human drugs, the request should be submitted to:
264 265		Director, Division of Field Investigations Office of Regional Operations
266 267		Office of Regulatory Affairs Food and Drug Administration
268 269		Mail Code: HFC-100 5600 Fishers Lane, Room 13-64
270 271		Rockville, Maryland 20857
272 273 274 275	3.	For a tier-one dispute resolution request from domestic or foreign manufacturers of human biological drug products inspected by Team Biologics, the request should be submitted to:
276 277		Director, Division of Compliance Management and Operations Office of Enforcement
278 279		Office of Regulatory Affairs Food and Drug Administration
280 281		Mail Code: HFC-210 5600 Fishers Lane
282 283		Rockville, MD 20857
284 285 286	4.	For a tier-two dispute resolution request, the request should be submitted to the appropriate center contact as listed below:
287 288		• For CDER:
289 290		Formal Dispute Resolution Project Manager (DPRM) Office of Compliance
291 292		Center for Drug Evaluation and Research Food and Drug Administration

293		Mail Code: HFD-320
294		5600 Fishers Lane
295		Rockville, MD 20857
296		
297		• For CVM:
298		
299		Ombudsman
300		Office of the Center Director
301		Center for Veterinary Medicine
302		Food and Drug Administration
303		Mail Code: HFV-7
303 304		7519 Standish Place
305		Rockville, MD 20855
306		
307		• For CBER:
308		
309		Assistant to the Director for Policy
310		Office of Compliance and Biologics Quality
311		Center for Biologics Evaluation and Research
312		Food and Drug Administration
313		Mail Code: HFM-600
314		1401 Rockville Pike, Suite 200N
315		Rockville, MD 20852
316		
317		D. Supporting Information to be Provided by Manufacturers
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319	All re	quests for formal dispute resolution should be in writing and include adequate information
320		lain the nature of the dispute and to allow the Agency to act quickly and efficiently. Each
321	-	st should include the following:
322	10900	
323	1.	Cover sheet that clearly identifies the submission in bold, uppercase letters:
324	1.	cover sheet that clearly radiatiles the submission in core, appercase reacts.
325		REQUEST FOR TIER-ONE DISPUTE RESOLUTION
326		REQUEST FOR THER-ONE DISTUTE RESOLUTION
320 327		or
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328 329		DEALIEST FAD THED TWA DISDUTE DESAL LITIAN (DEVIEW DV THE
		REQUEST FOR TIER-TWO DISPUTE RESOLUTION (REVIEW BY THE DISPUTE DESCLUTION DANEL FOR SCIENTIFIC AND TECHNICAL ISSUES
330		DISPUTE RESOLUTION PANEL FOR SCIENTIFIC AND TECHNICAL ISSUES
331		RELATED TO PHARMACEUTICAL CGMP)
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333	2.	Name and address of manufacturer inspected (as listed on the Form FDA 483)
334	2	
335	3.	Date of inspection (as listed on the Form FDA 483)
336		
337	4.	Date the Form FDA 483 issued (from the Form FDA 483)

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339	5.	FEI Number, if available (from the Form FDA 483)
340		
341	6.	Names and titles of FDA employees who conducted inspection (from the Form FDA 483)
342		
343	7.	Office responsible for the inspection, e.g., district office, as listed on the Form FDA 483
344		
345	8.	Application number if the inspection was a preapproval inspection
346		
347	9.	Comprehensive statement of each issue to be resolved
348		
349		• Identify the observation in dispute.
350		• Clearly present the manufacturer's scientific position or rationale concerning the
351		issue under dispute with any supporting data.
352		• State the steps that have been taken to resolve the dispute, including any informal
353		dispute resolution that may have occurred before the issuance of the Form FDA 483.
354		• Identify possible solutions.
355		• State desired outcome.
356		
357	10.	Name, title, telephone and fax number, and e-mail address (as available) of manufacturer
358		contact.
359		
360		E. FDA Response to Requests for Dispute Resolution
361		
362		will respond in writing to all requests for dispute resolution filed under the procedures
363		ibed in this guidance. The written response should specifically agree or disagree with the
364		ome desired by the manufacturer, agree or disagree with parts of the proposed outcome, or
365		ate a resolution that is different from that proposed by the manufacturer. If the Agency does
366	not a	
267		gree with the manufacturer's position, the response should include reasons for the
367 368		gree with the manufacturer's position, the response should include reasons for the greement.
368	disag	preement.
368 369	disag	Agency official responsible for replying to a request for dispute resolution should make all
368 369 370	disag The A reaso	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer
368 369 370 371	disag The A reaso	Agency official responsible for replying to a request for dispute resolution should make all
368 369 370 371 372	disag The A reaso accor	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B.
368 369 370 371 372 373	disag The A reaso accor	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for
368 369 370 371 372 373 374	disag The A reaso accor	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B.
368 369 370 371 372 373 374 375	disag The A reaso accor	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for
368 369 370 371 372 373 374	disag The A reaso accor The A form	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for al dispute resolution is pending.
368 369 370 371 372 373 374 375 376	disag The A reaso accor The A form IV.	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for al dispute resolution is pending.
368 369 370 371 372 373 374 375 376 377	disag The A reaso accor The A form IV. Any	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for al dispute resolution is pending. SUITABILITY OF ISSUES FOR FORMAL DISPUTE RESOLUTION
368 369 370 371 372 373 374 375 376 377 378	disag The A reaso accor The A form IV. Any durin	Agency official responsible for replying to a request for dispute resolution should make all onable efforts to resolve the dispute and provide a written response to the manufacturer rding to timelines suggested above in Section III. A and B. Agency may, under appropriate circumstances, take regulatory action while a request for al dispute resolution is pending. SUITABILITY OF ISSUES FOR FORMAL DISPUTE RESOLUTION dispute involving a scientific or technical issue related to CGMP regulations that arises

The following text provides examples concerning the appropriateness of several issues for thedispute resolution process detailed in this guidance.

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A. Failure to Comply With a Precise Element of CGMP Regulations

According to 21 CFR 211.100(a), a manufacturer producing a finished pharmaceutical product
 must have written procedures for production and process controls, and these written procedures
 must be designed to ensure that the drug has the identity, strength, quality, and purity it purports
 or is represented to have.

- 391 392
 - Failure to have written procedures for production and process controls would be a failure to comply with a precise element of the CGMP regulations and would not be appropriate for the formal dispute resolution process described in this document.
 - However, observations pertaining to the adequacy of the process and production control design activities could be subject to scientific debate and may be appropriate for dispute resolution as described in this guidance.

Another example relates to the regulatory provisions governing the testing and approval or
 rejection of components, drug product containers, and closures (21 CFR 211.84), which require
 appropriate sampling, testing, or examination of each lot of components, drug product
 containers, or closures.

- Failure to conduct testing or examination of each lot would be failure to comply with
 a precise element of the regulations and would not be appropriate for the formal
 dispute resolution process described in this guidance.
 - However, the appropriateness of a particular test or sampling scheme could involve the exercise of scientific judgment. A disagreement between a manufacturer and an investigator concerning the adequacy of a particular test or sampling scheme could be subject to scientific debate and may be appropriate for dispute resolution as described in this guidance.

A third example relates to the CGMP regulation requirements that a manufacturer thoroughly
investigates any unexplained discrepancy associated with its review of product production and
control records (21 CFR 211.192).

- Failure to investigate an unexplained discrepancy would be a failure to comply with a precise element of the CGMP regulations and would not be appropriate for the formal dispute resolution process described in this guidance.
- However, the extent or adequacy of the investigation could be subject to scientific
 debate. Observations pertaining to the adequacy of an investigation into an
 unexplained discrepancy may also be appropriate for dispute resolution as described
 in this guidance.

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B. Failure to Comply With a Precise Requirement Established in an Approved Application

If, as part of the conditions established in an approved application, a manufacturer is required to
conduct a particular test on a finished product and the manufacturer fails to conduct that test, this
failure represents a failure to comply with a precise requirement established in an approved
application. Any disagreement about the need for such a test should be raised in the application
review process. Such disagreement is not appropriate for the dispute resolution process
described in this guidance, but may be raised using the processes described in the CDER/CBER
and CVM guidances listed in Section I of this document.

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C. The Regulatory Significance of Failing to Comply With a Precise Requirement

441 442 The CGMP regulations require that all changes to production and process control procedures be 443 approved by the quality control unit (21 CFR 211.100(a)). If a manufacturer makes a change in 444 production and process control procedures, but does not obtain approval of those procedures by 445 the manufacturer's quality control unit, this would be a failure to comply with a precise 446 requirement of the CGMP regulations. The manufacturer may contend that the failure in this 447 particular case was not significant because it did not have an adverse effect on product quality 448 and may convey this contention to the Agency through existing informal communication 449 channels, including Form FDA 483-response correspondence.

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451 In such a case, the significance of this observation would not be appropriate for dispute

452 resolution as described in this guidance, as the observation concerns a failure to comply with a

453 precise requirement of the regulations. The regulatory significance of an observation is

454 determined by the Agency after considering all relevant information, including the

455 manufacturer's response to the inspectional observations. The Agency encourages manufacturers

456 to provide all information relevant to the regulatory significance of an observation as part of this

457 response, but such disputes are not within the scope of this guidance on scientific and technical

disputes concerning the interpretation and application of CGMP requirements.

459

460 Manufacturers must have internal written production and process control procedures (21 CFR

461 211.100(a)) and, as part of these procedures, manufacturers often establish procedural *action*

462 *limits* that are tighter than release specifications. When the *action limits* are exceeded, the

463 internal written procedures may call for some type of investigation to determine if the process is

drifting toward a loss of control, or the procedures may call for other assessments to determine if

the product will meet appropriate specifications throughout its expected shelf life. If a

466 manufacturer's internal written procedures require certain actions when *action limits* are 467 exceeded, failure to follow these written production and process control procedures is a failur

467 exceeded, failure to follow these written production and process control procedures is a failure to468 comply with 21 CFR 211.100(b). The manufacturer may contend that this failure is not

469 significant in that the product met all regulatory specifications when released. As discussed

470 above, this contention about significance is not appropriate for the formal dispute resolution

471 process described in this guidance.

- 472 473
- D. Issues Not Raised During the Inspection

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475 If, during an inspection, an investigator notes what appears to be an objectionable condition and
476 a manufacturer disagrees with that observation, the manufacturer should voice its disagreement
477 with the investigator. By doing so, the investigator has the opportunity to evaluate the
478 manufacturer's position and consult, as needed, with Agency experts. The Agency may not
479 accept a request for dispute resolution concerning a disagreement that was not initially raised by
480 the manufacturer during the inspection unless a manufacturer can provide a reasonable
481 explanation why it did not present relevant information during the inspection.

482

483 V. COMMUNICATION OF DISPUTE RESOLUTION DECISIONS

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FDA believes that decisions made in the dispute resolution process, along with all supporting
documentation, should be publicly available consistent with FDA's disclosure regulations (21
CFR Part 20) and applicable statutes, unless the decisions involve information that would
otherwise be withheld under these regulations and statutes. The Agency will redact, as
appropriate, any documents requested through the Freedom of Information process.

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When appropriate, a summary of the relevant issues and Agency views will be provided in a
question and answer format and posted on the FDA Web site with all identifying information
excluded. Information gained from these decisions should promote consistent application and
interpretation of pharmaceutical CGMP requirements.

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496VI.PAPERWORK REDUCTION ACT OF 1995

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This guidance contains information collection provisions that are subject to review by the Office
of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C.
3501-3520).

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502 The time required to complete this information collection is estimated to average 30 hours to 503 prepare and submit each request for tier-one dispute resolution and 8 hours to prepare and submit 504 each request for tier-two dispute resolution. This includes the time to review instructions, search 505 existing data resources, gather the data needed, and complete and review the information 506 collection. Send comments regarding this burden estimate or suggestions for reducing this 507 burden to Edward M. Sherwood, Center for Drug Evaluation and Research (HFD-3), Food and 508 Drug Administration, Rockwall II, Rm. 7231, 5515 Security Lane, Rockville, MD 20857, 301-594-2847. 509

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An agency may not conduct or sponsor, and a person is not required to respond to, a collection of
information unless it displays a currently valid OMB control number. The OMB control number
for this information collection is 0910-0563 (expires 09/30/2011 (Note: Expiration date updated
05/04/2011)).