

# **Guidance for Industry**

## **Animal Generic Drug User Fees and Fee Waivers and Reductions**

Submit written comments on the guidance to the Division of Dockets Management (HFA-305), Food and Drug Administration, 5630 Fishers Lane, rm. 1061, Rockville, MD 20852. Submit electronic comments to <http://www.regulations.gov>. All comments should be identified with the Docket No. FDA-2009-D-0189.

For questions regarding this document, contact Steven Vaughn, Center for Veterinary Medicine (HFV-100), Food and Drug Administration, 7520 Standish Place, Rockville, MD 20855, 240-276-8300, e-mail: [steven.vaughn@fda.hhs.gov](mailto:steven.vaughn@fda.hhs.gov).

Additional copies of this guidance may be requested from the Communications Staff (HFV-12), Center for Veterinary Medicine, Food and Drug Administration, 7519 Standish Place, Rockville, MD 20855, and may be viewed on the Internet at <http://www.fda.gov/AnimalVeterinary/GuidanceComplianceEnforcement/GuidanceforIndustry/cm042450.htm>.

**U.S. Department of Health and Human Services  
Food and Drug Administration  
Center for Veterinary Medicine (CVM)  
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## GUIDANCE FOR INDUSTRY

# Animal Generic Drug User Fees and Fee Waivers and Reductions<sup>1</sup>

**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.**

### I. INTRODUCTION

On August 14, 2008, President Bush signed into law the Animal Generic Drug User Fee Act of 2008 (AGDUFA) (Public Law 110-316). This Act amends the Federal Food, Drug, and Cosmetic Act (FFDCA or the act) by authorizing the first ever generic animal drug user fee program. These fees will enhance the performance of the generic new animal drug review process and will enable FDA to better ensure that generic new animal drug products are safe and effective and give consumers a lower cost alternative to pioneer drugs. It also requires the Food and Drug Administration (FDA or the Agency) to grant a waiver from or a reduction of those fees in certain circumstances.

The purpose of this document is to provide guidance on the types of fees the FDA is authorized to collect under AGDUFA and how to request a waiver or a reduction of these fees. This guidance describes the types of fees; FDA's current thinking on how it intends to implement the generic new animal drug user fee provision of AGDUFA; the type of fee waiver or reduction available; what information FDA recommends you submit in support of a request for a fee waiver or reduction; how to submit such a request; and FDA's process for reviewing requests.

***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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<sup>1</sup> This guidance has been prepared by the Office of New Animal Drug Evaluation in the Center for Veterinary Medicine at the Food and Drug Administration.

## **II. TYPES OF FEES**

### **A. Abbreviated Application Fee**

AGDUFA requires FDA to collect fees from each person who submits certain abbreviated applications for generic new animal drugs on or after July 1, 2008. Section 741(a)(1)(A) of the FDCA.

All original or reactivated original abbreviated new animal drug applications submitted under section 512(b)(2) of the Act are subject to fees. Section 741(a)(1)(A) of the Act. Supplemental abbreviated applications for generic new animal drugs are not subject to application fees under AGDUFA.

If you have paid the fee for an application which was accepted for filing, but was either not approved or was withdrawn without a waiver or refund, then if you or your licensee, assignee, or successor submits an application for the same product (i.e., a reactivation), it will not be subject to an application fee. Section 741(a)(1)(C) of the Act.

An applicant may submit an amendment to an application. At its discretion, the Agency may extend an internal due date (but not a user fee goal) to allow for the complete review of an application or submission for which FDA has requested a minor amendment. If a pending application is amended with significant changes, the amended application may be considered resubmitted, thereby effectively resetting the clock to the date FDA received the amendment. FDA intends to accept minor changes without considering the amended application as resubmitted.

### **B. Generic New Animal Drug Product Fee**

Under specified circumstances, AGDUFA requires FDA to collect an annual generic new animal drug product fee for each drug product which has been submitted for listing under section 510 of the Act. Section 741(a)(2) of the Act. AGDUFA defines the term “generic new animal drug product” to mean “each specific strength or potency of a particular active ingredient or ingredients in final dosage form marketed by a particular manufacturer or distributor, which is uniquely identified by the labeler code and product code portions of the national drug code, and for which an abbreviated application for a generic new animal drug or a supplemental abbreviated application has been approved.” Section 741(k)(6) of the Act. The product fee is assessed to the person named as the applicant in an abbreviated application for a generic new animal drug or supplemental abbreviated application for a generic new animal drug for a generic new animal drug product that has been submitted for listing and who, after September 1, 2008, had pending with FDA an abbreviated application for a generic new animal drug or supplemental

abbreviated application for a generic new animal drug. Section 741(a)(2) of the Act. Generic new animal drug products that were approved and listed before September 1, 2008, are subject to generic new animal drug product fees once the sponsor has an abbreviated application or supplemental abbreviated application pending after September 1, 2008.

### **C. Generic New Animal Drug Sponsor Fee**

AGDUFA requires FDA to collect generic new animal drug sponsor fees. A generic new animal drug sponsor is defined in section 741(k)(7) of the Act as either an applicant named in an abbreviated application for a generic new animal drug that has not been withdrawn by the applicant or *a person who has submitted an investigational submission for a generic new animal drug* that has not been terminated or otherwise rendered inactive by the Agency. A person who meets this definition within a fiscal year is assessed a fee in that fiscal year if, after September 1, 2008, the person had pending with FDA an abbreviated application for a generic new animal drug, a supplemental abbreviated application for a generic new animal drug, or an investigational submission for a generic new animal drug. Section 741(a)(3) of the Act.

Each sponsor will pay only one such fee each fiscal year, as follows (section 741(a)(3)(B) of the Act):

- 100 percent of the amount of the generic new animal drug sponsor fee published for that fiscal year for an applicant with more than 6 approved abbreviated applications.
- 75 percent of the amount of the generic new animal drug sponsor fee published for that fiscal year for an applicant with more than 1 and fewer than 7 approved abbreviated applications.
- 50 percent of the amount of the generic new animal drug sponsor fee published for that fiscal year for an applicant with 1 or fewer approved abbreviated applications.

### **III. DETERMINING WHETHER YOU ARE SUBJECT TO THE GENERIC NEW ANIMAL DRUG SPONSOR FEE**

Section 741 of the Act requires FDA to assess and collect generic new animal drug sponsor fees. You are subject to sponsor fees if you: (1) meet the definition of a generic new animal drug sponsor within a fiscal year; and (2) after September 1, 2008, had pending before the Secretary an abbreviated application for a generic new animal drug, a supplemental abbreviated application for a generic new animal drug, or an investigational submission for a generic new animal drug. (Section 741(a)(3) of the Act). This two-part test is discussed in more detail below.

#### **1. Determining whether you are a generic new animal drug sponsor.**

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You are a "generic new animal drug sponsor" if you are either:

- An applicant named in an abbreviated application for a generic new animal drug that has not been withdrawn by the applicant and for which approval has not been withdrawn by the Secretary; or
- A person who has submitted an investigational submission for a generic new animal drug that has not been terminated or otherwise rendered inactive by the Secretary.

(Section 741(k)(7) of the Act).

An "abbreviated application for a generic new animal drug" is an application for approval of any generic new animal drug submitted under section 512(b)(2) of the Act and is commonly referred to as an abbreviated new animal drug application (ANADA). It does not include a supplemental abbreviated application for a generic new animal drug submitted under 512(b)(2) of the Act, or an application for approval of any new animal drug submitted under section 512(b)(1) of the Act, commonly referred to as a new animal drug application (NADA). Thus, you are a generic animal drug sponsor if you are named as an applicant in any ANADA.

An "investigational submission for a generic new animal drug" is either:

- The filing of a claim for an investigational exemption under 512(j) for a generic new animal drug intended to be the subject of an abbreviated application or a supplemental abbreviated application, which means the submission of a "Notice of Claimed Investigational Exemption for a New Animal Drug" in accordance with 21 CFR 511.1(b)(4); or
- The submission of information for the purpose of enabling the Secretary to evaluate the safety or effectiveness of a generic new animal drug in the event of the filing of an abbreviated application or supplemental abbreviated application for such drug.

(Section 741(k)(8) of the Act).

FDA will establish a generic investigational new animal drug (JINAD) file no later than at the time a sponsor is required by 21 CFR 511.1(b)(4) to submit a Notice of Claimed Investigational Exemption. Thus, the existence of a JINAD will enable FDA to identify those persons who meet the definition of a generic new animal drug sponsor. The existence of the JINAD file will also help to make clear that the submitted information is subject to the confidentiality provisions of 21 CFR 514.12.

Not all submissions concerning a generic investigational product will meet the definition of a "investigational submission for a generic new animal drug." In general, FDA does not consider submissions requesting only administrative actions or asking general questions to be investigational submissions for generic new animal drugs. For example, submissions asking whether a product under development is a new animal drug subject to FDA regulation, or submissions asking about FDA's administrative process for submitting a "Notice of Claimed Investigational Exemption for a New Animal Drug" or submitting an ANADA, by themselves, are not generic investigational animal drug submissions. However, if you wish to discuss generic investigational or submission requirements and provide advance materials that relate to the safety or effectiveness of the generic new animal drug for FDA to review, FDA would likely establish a JINAD file for these materials and you would be considered a generic new animal drug sponsor.

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FDA does not intend to consider you a generic new animal drug sponsor if:

- You withdraw all of your ANADAs; and
- All of your JINAD files are either terminated, pursuant to 21 CFR 511.1(d), or are otherwise rendered inactive; or
- All of your applications and files are sold to another party.

Note that if a sponsor withdraws an ANADA for a listed new animal drug and the manufacturer is no longer manufacturing, preparing, propagating, compounding, or processing that drug for commercial distribution, the sponsor must update the listing regarding the discontinuance. 21 CFR 207.30(a)(2).

FDA intends to render inactive a JINAD file if it receives a request from the generic new animal drug sponsor to close the JINAD file and the request states that the sponsor has ceased all investigations and recalled or destroyed all unused supplies of the generic new animal drug. FDA asks that your request to close a JINAD file include a waiver of a right to a hearing.

Veterinary Master Files (VMFs) and Public Master Files (PMFs) are not considered generic new animal drug applications or investigational submissions for a generic new animal drug. Creation of, and submissions to, VMFs or PMFs do not, by themselves, make a person a generic new animal drug sponsor.

**2. Determining whether you have an abbreviated application for a generic new animal drug, a supplemental abbreviated application for a generic new animal drug, or an investigational submission for a generic new animal drug pending before FDA after September 1, 2008.**

The terms "abbreviated application for a generic new animal drug" and "investigational submission for a generic new animal drug" are explained above. A "supplemental abbreviated application for a generic new animal drug" is:

- A request to the Secretary to approve a change in an approved abbreviated application.

An application was "pending after September 1, 2008," if:

- It was accepted for filing after September 1, 2008; or
- It was accepted for filing before September 1, 2008, and it is still under review after that date.

Likewise, an investigational submission for a generic new animal drug, also referred to as a JINAD, was "pending after September 1, 2008," if:

- FDA established a JINAD file for the generic new animal drug sponsor after September 1, 2008;
- The generic new animal drug sponsor filed, after September 1, 2008, information to support the approval of a supplemental abbreviated application for a generic new animal drug in the event of its filing; or
- The generic new animal drug sponsor submitted, before September 1, 2008, information to support the approval of an abbreviated application for a generic new animal drug or

Thus, FDA will not consider a JINAD file to be pending after September 1, 2008, if the sponsor established the file prior to that date but there is no data or information pending for review as of that date and the sponsor has not submitted any data or information to the file since that date. As discussed above, FDA does not intend to consider submissions that are unrelated to information in support of the approval of the generic new animal drug, such as a request to terminate the JINAD file, to be an investigational submission for a generic new animal drug.

#### **IV. FEE WAIVER OR REDUCTION**

This section contains a summary of the specific provision under which a waiver or reduction may be requested.

##### **Minor Use or Minor Species**

Section 741(d) of the Act provides that FDA shall grant a waiver from or a reduction of one or more of the fees where FDA finds that:

- *the generic new animal drug is intended solely to provide for a minor use or minor species indication.*

For the purpose of this provision, FDA defines the term "minor use" in 21 CFR 516.3(b): the intended use of a drug in a major species for an indication that occurs infrequently and only in a small number of animals or in limited geographic areas and in only a small number of animals annually.

Likewise, for the purpose of this provision, FDA defines the term "minor species" in 21 CFR 516.3: animals, other than humans, that are not major species; that is, animals other than cattle, horses, swine, chickens, turkeys, dogs, and cats.

The Agency intends to waive or reduce application fees only if the application is for a generic new animal drug intended exclusively for a minor species or minor use indication. The Agency intends to waive sponsor fees only if the sponsor's approved and pending applications are exclusively for minor species or minor use indications. The Agency intends to waive or reduce the product fee only if the animal drug product is labeled exclusively for a minor species or minor use indication.



## **V. PROCEDURES AND TIMING FOR REQUESTING WAIVERS OR REDUCTIONS OF FEES**

This section of the guidance document describes the procedures that FDA recommends for submitting a fee waiver or reduction request, and the information that the Agency requests you submit to determine whether it can grant the request for a fee waiver or reduction. Adherence to these procedures will help to minimize time-consuming efforts by the Agency to obtain additional information, and will enable the Agency to grant fee waivers or reductions to qualifying persons in a timely manner. Please note that you must submit a written request to the Agency for a waiver or reduction no later than 180 days after the fee is due. Section 741(i) of the Act. FDA does not intend to consider any requests made later than 180 days after the fee is due.

### **A. Procedures Applicable To All Requests for Waivers or Reductions**

#### **1. Submitting a Waiver or Reduction Request**

Because waivers and reductions apply to specific fees due for a specific application or fiscal year, new requests should be submitted for each application or fiscal year. The request must be submitted in writing. Section 741(i) of the Act. Requests for fee waivers and reductions will be reviewed and granted or denied by FDA's Center for Veterinary Medicine (CVM) AGDUFA Waiver Officer. To facilitate timely review and processing, these requests should contain the following information:

- a. The name and address of the entity requesting the waiver or reduction (requestor), including the company name and address if the requestor is an agent for the company.
- b. The name, telephone number, and e-mail address of a contact person.
- c. The specific fee or fees for which a waiver or reduction is requested, including:
  - i. *For abbreviated application fee:*
    - a) the number of the ANADA (if available) for which a waiver or reduction is being requested;
    - b) the trade and established names of animal drug products covered by the application; and
    - c) the date the application or supplement is to be/was submitted.
  - ii. *For generic new animal drug product fee(s):*

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- a) the trade and established names of the generic new animal drug product, its applicable National Drug Code (NDC) number, and the number of the ANADA or supplemental ANADA under which the product was approved;
  - b) the name of the person holding the approved application for the generic new animal drug product;
  - c) the specific strength or potency of the product and its final dosage form; and
  - d) the product fee invoice number and invoice date, if available. A photocopy of FDA's invoice to the person may be submitted to provide this information, though you should clearly state for which specific generic new animal drug product the fee waiver or reduction is requested.
- iii. *For generic new animal drug sponsor fee:*
- a) the name and address of the generic new animal drug sponsor requesting the waiver or reduction;
  - b) the invoice number and invoice date if available. A copy of the invoice is acceptable.
- d. If payment has been made, the date on which payment was made;
  - e. The particular grounds on which the waiver or reduction is requested (i.e., the provision specified in section IV above); and
  - f. Information and analyses showing why the requestor believes it qualifies for the waiver or reduction.

If submitting a fee waiver or reduction request in advance of the date the fees are due, you should provide any new or updated information as soon as it becomes available.

A request for a fee waiver or reduction should be sent to:

CVM AGDUFA Waiver Officer  
Office of New Animal Drug Evaluation, HFV-100  
7500 Standish Place  
Rockville, MD 20855

FDA will send a written acknowledgement of receipt of the waiver or reduction request to the requestor. The acknowledgement letter will include the date on which the waiver or reduction request was received, and will request any additional information the FDA believes, at the time, will be necessary to evaluate the request.

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### 2. Timing of a Fee Waiver or Reduction Request

If you plan to request a waiver or reduction and wish to minimize the likelihood that you will have to pay the fee and then wait for a refund, FDA encourages you to submit your requests at least 90 days before the fees are due. For the application fee, this would be 90 days before the expected submission of the application. For sponsor and product fees, this would normally be by November 1st of each fiscal year because after FY 2009 these fees are due on or before January 31st of the fiscal year.

### 3. The Waiver Officer's Review of the Request

The Waiver Officer will review the waiver or reduction request and consult with relevant Agency officials as appropriate. The Waiver Officer may request additional information from, or a meeting with, the requestor during the review period. The Agency expects to notify the requestor of the Waiver Officer's decision and the reasons for it within 90 days of the receipt of a waiver or reduction request. These time periods may vary depending on, among other things, the number of fee waiver or reduction requests submitted and whether the request contains sufficient supporting information.

### 4. Requesting Reconsideration of a Decision

If the Waiver Officer fully or partially denies your request for a fee waiver or reduction, you may request reconsideration of that decision. FDA encourages persons to make such requests for reconsideration promptly, and suggests that they be made within 15 days of receiving the decision. A request for reconsideration should state the person's reasons for believing that the decision is in error, and should include any additional information necessary to support the person's position. The Waiver Officer will issue a decision on reconsideration, setting forth the reasons for it. A request for reconsideration is decided by the original decision maker, and is different from a request for review, which is described in the next two sections. You may, but are not required to, request reconsideration of the initial decision by the Waiver Officer before seeking review of that decision.

You should send the request for reconsideration to:

CVM AGDUFA Waiver Officer  
Office of New Animal Drug Evaluation, HFV-100  
7500 Standish Place  
Rockville, MD 20855

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5. Requesting Review of the AGDUFA Waiver Officer's Decision

If the AGDUFA Waiver Officer denies your waiver or reduction request or denies your request for reconsideration, you may seek review by CVM's AGDUFA Appeals Officer. Your request for review should contain a copy of the Waiver Officer's original decision; the Waiver Officer's decision on reconsideration, if any; and the reasons you believe the decisions are in error. The review will be based on information in the administrative file, which includes information and analyses already submitted to the Agency.

The request for review should be sent to:

CVM AGDUFA Appeals Officer (HFV-1)  
Center for Veterinary Medicine  
Food and Drug Administration  
7519 Standish Place  
Rockville, MD 20855

After reviewing the request, the CVM AGDUFA Appeals Officer will issue a written decision.

6. Requesting Review of the CVM AGDUFA Appeals Officer's Decision

If the CVM AGDUFA Appeals Officer upholds the AGDUFA Waiver Officer's decision, you may seek review by FDA's User Fee Appeals Officer. Your request for review should contain a copy of the original decision, any decisions on reconsideration or review, and the reasons you believe those decisions are in error. The review will be based only on information in the administrative file, which includes information and analyses already submitted to the Agency.

The request for review should be sent to:

The FDA User Fee Appeals Officer (HF-3)  
Food and Drug Administration  
5600 Fishers Lane  
Rockville, MD 20857

After reviewing the request, FDA's User Fee Appeals Officer will issue a written decision.

**B. Payment of Fees Pending a Decision on a Waiver/Reduction Request**

An abbreviated application for a generic new animal drug submitted by a person subject to application fees is considered incomplete and will not be accepted for filing by FDA until all fees owed by such person have been paid. Section 741(e) of the Act. FDA considers fees to be due even if the person has a request for a fee waiver or reduction

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pending, meaning that either FDA has not yet granted or denied the request or the requestor has asked for agency reconsideration or review of a denial. If FDA grants a waiver or reduction of a fee that has been paid, it will issue a refund as anticipated by section 741(i) of the Act.