

# **The Federal Register Publication System:**

## **WHAT IT IS AND HOW TO USE IT**

Office of the Federal Register  
National Archives and Records Administration

2013

## **Federal Register Workshop**

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## What topics will this workshop cover ?

- ▶ Historical background and legal basis
- ▶ The regulatory process and the role of the public
- ▶ Organization the *Federal Register* and CFR
- ▶ Relationships among Public Laws, the FR and CFR
- ▶ Research tools and Finding Aids

## Publications

- ▶ *Federal Register*
- ▶ *Code of Federal Regulations*
- ▶ *Privacy Act Compilation*
- ▶ *U.S. Government Manual*
- ▶ *Compilation of Presidential Documents*
- ▶ *Public Papers of the Presidents*
- ▶ Public Laws
  - Slip Laws
  - *U.S. Statutes-at-Large*  
(contrast to the *United States Code* - U.S.C.)

## Other Duties

- Constitutional Amendments
- Electoral College

## Related Publication

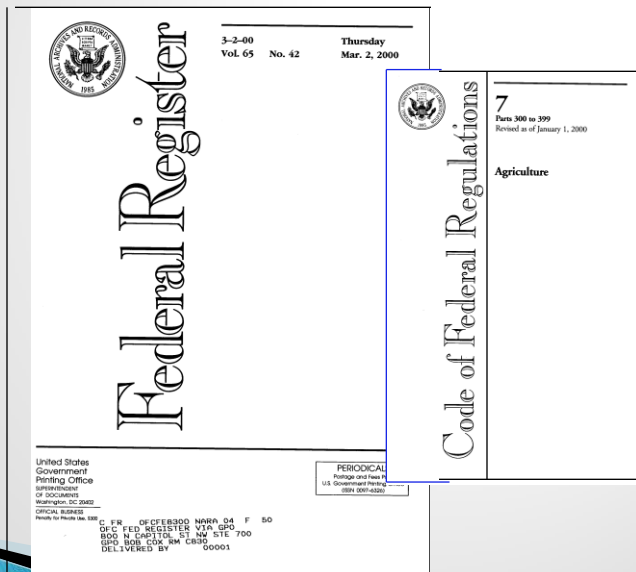
United States Code (U.S.C.)

- ▶ Codified by the Law Revision Counsel of the U.S. House of Representatives

## Related Concepts

- ▶ *Private Law*
- ▶ *Permanent Law*
- ▶ *Temporary Law*
- ▶ *Organic Acts*
- ▶ *Positive Law*
- ▶ *Standby Law*
- ▶ *Administrative Law*

## Historical Background & Legal Basis



## Why was the Federal Register System Established ?

- ▶ **New Deal Legislation**
  - A growing government
  - New agencies regulating new areas
- ▶ **Lack of Process**
  - No centralized publication system
- ▶ **Lack of Access**
  - No centralized filing system
- ▶ **Lack of Organization**
  - No organization to the system
- ▶ **Constitutional Issues**
  - Separation of Powers
  - Due Process
  - Fairness

## Federal Regulatory Process – the Congressional Response

- ▶ Legal structure:
  - The Federal Register Act
  - The Administrative Procedure Act (APA)
  - Congressional Review Act
  - Other individual laws
- ▶ Designed to allow Federal agencies to issue and enforce legally effective regulations

## Federal Register Act

Enacted: July 26, 1935      Cite: 44 U.S.C. Chap. 15

- ▶ Established a central location
  - Office of the Federal Register
- ▶ Established a means of publicizing
  - The daily Federal Register
- ▶ Established a system of organization
  - The *Code of Federal Regulations*

## Effect of Publishing in the *Federal Register*

- ▶ Official notice
- ▶ Legal authority of the agency
- ▶ Documents evidentiary status
- ▶ Shows how and when the CFR will be amended

## Administrative Procedure Act

Enacted: June 11, 1946    Cite: 5 U.S.C. 551 et seq.

- ▶ Established a *Process*
  - Requires Proposed Rules
  - Delays Effective Date 30- to 60-days
  - “due process” – ensures fairness
- ▶ Established *Public Participation*
  - Requires Notice
  - Requires Taking Comments
  - “notice and comment” – ensures democratic values

## Congressional Review Act

Part of the Small Business Regulatory Enforcement  
Fairness Act of 1996 (P.L. 104-121)

Additional procedural requirements to ensure:

**Legislative *Oversight***

Major and significant regulatory actions

***Separation of Powers***

Constitutionally adequate veto of  
regulations

## Other Parts of the Federal Regulatory Process

- ▶ Agency Dockets
- ▶ Administrative Requirements
- ▶ Regulatory Review (OIRA)

## Agency Dockets

- ▶ A Single Rulemaking Activity
- ▶ All related materials
- ▶ Public Information
- ▶ Federal Docket Management System (FDMS)

## Administrative Requirements

- ▶ Regulatory Analyses
  - Legislative
  - Executive Order

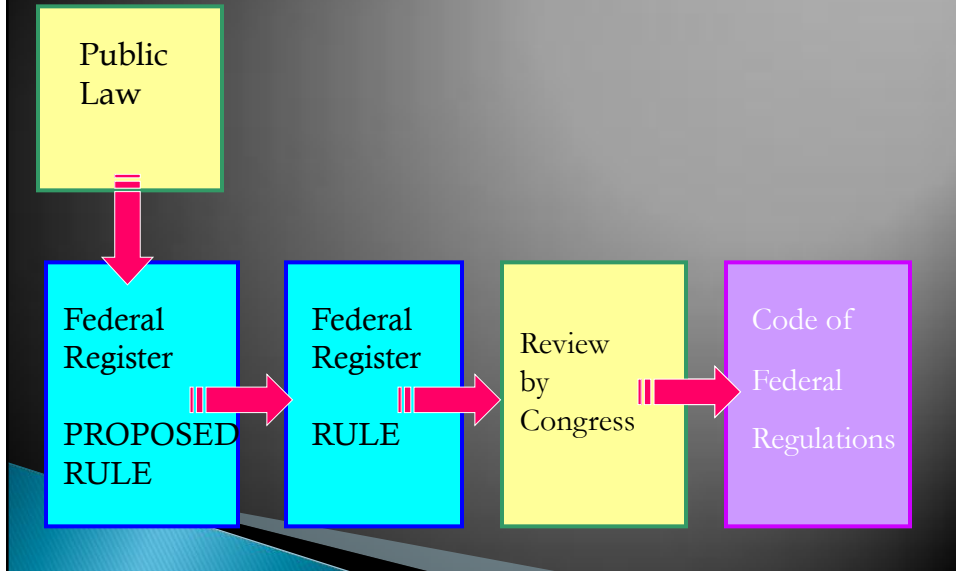
## Regulatory Review

Administration's policy input

- ▶ Office of Information and Regulatory Analysis (OIRA)
- ▶ Policy review
- ▶ Regulatory Agenda



# The Regulatory Process



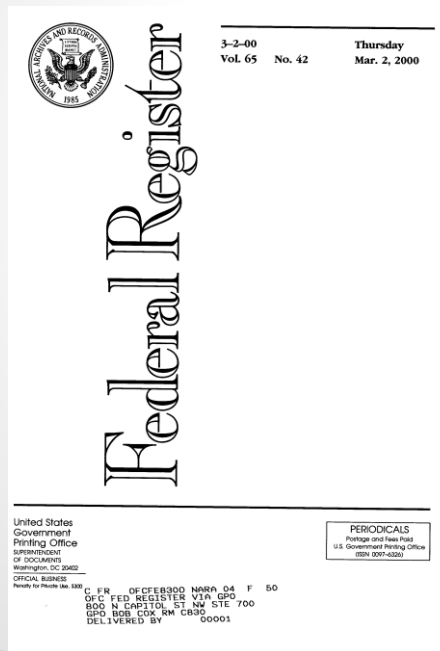
## Summary – Why was the Federal Register System Established?

- ▶ Lack of Access – Office of the Federal Register
  - No centralized filing system
- ▶ Lack of Process – Federal Register publication
  - No centralized publication system
- ▶ Lack of Organization – Code of Federal Regulations
  - No organization to the system
- ▶ Constitutional Issues – Notice & Comment/Congressional Review
  - Separation of Powers
  - Due Process
  - Fairness

# Comparison of Laws and Rules

| Congress Passes Laws  | Executive Agencies Issue Rules   |
|---|--|
| Publish Slip Law/Statutes at Large<br>Codified in U.S. Code                                 | Publish in Federal Register<br>Codified in CFR   |
| Power comes from Constitution<br>Courts review for constitutionality                        | Power delegated by Congress<br>Courts review for constitutionality & limits of delegated authority<br>arbitrary and capricious actions<br>Administrative Procedure Act reqs. |
| Representative Democracy:<br>Congress acts collectively<br>represent the will of the people | Participatory Democracy:<br>Agencies must seek and consider to public comment on benefits of rules v. burdens and costs  |
| Set broad social and economic goals and legal requirements                                  | Prescribe specific legal requirements to meet goals  |

## The Daily FEDERAL REGISTER



## *The Federal Register*

- ▶ An official daily legal publication
- ▶ Informs citizens of:
  - rights and obligations
  - opportunities for funding and Federal benefits
  - actions of Federal agencies for accountability to public
- ▶ Citation: 64 FR 34567 (June 5, 1999)

## *Federal Register Documents*

Document categories:

1. Presidential Documents
2. Rules and Regulations
3. Proposed Rules
4. Notices

Additional sections:

- ▶ Separate Parts
- ▶ Reader Aids

## Proposed Rule

- ▶ Announces possible changes to the CFR
- ▶ Sets out proposed regulatory text or describes proposal
- ▶ Solicits public comment on proposal
- ▶ Initiates the “notice and comment rulemaking” process under the APA (5 U.S.C. 553)

## What Types of documents are in the Proposed Rules section ?

- ▶ Proposed Rules
  - AKA: “Notice of Proposed Rulemaking” (NPRM)
- ▶ Preliminary Rulemaking Documents
- ▶ Miscellaneous proposals and updates

## Standard Preamble Headings and Captions

Headings: Agency name, CFR title and part(s), docket info, subject matter

### Captions

- ▶ AGENCY:
- ▶ ACTION:
- ▶ SUMMARY:
- ▶ DATES:
- ▶ ADDRESSES:
- ▶ FOR FURTHER INFORMATION CONTACT:
- ▶ SUPPLEMENTARY INFORMATION:

## Advance Notices and Preliminary Rulemaking Documents

Advance Notice of Proposed Rulemaking

Petition for Rulemaking

Negotiated Rulemaking (“RegNeg”) document

## Miscellaneous Proposed Rule Documents

- Extension of time to submit comments on proposed rule
- Further notice of proposed rulemaking to make changes in response to comments or events
- Withdrawal of proposed rule
- Annual review of regulations -- opportunity to comment

## What is the Rules and Regulations Section of the *Federal Register*?

- ▶ Documents with:
  - Final legal effect
  - General applicability to the public
- ▶ Most, rules amend and are codified in the CFR

## Final Rule

- ▶ Generally issued to amend the CFR
- ▶ Finalizes a proposed rule
- ▶ Takes final action without a prior proposed rule
  
- ▶ Effective Dates:
  - At least 30 days from date of publication
  - At least 60 days from date of publication for major rules
  - On date of publication
    - emergency
    - good cause

## What Types of Documents are in the Rules & Regulations Section ?

- Final Rules
  
- Interim Final Rules
  
- Direct Final Rules
  
- Documents that relate to previous rules & regulations

## Standard Preamble Headings and Captions

Headings: Agency name, CFR title and part(s), docket info, subject matter

### Captions

- ▶ AGENCY:
- ▶ ACTION:
- ▶ SUMMARY:
- ▶ DATES:
- ▶ ADDRESSES:
- ▶ FOR FURTHER INFORMATION CONTACT:
- ▶ SUPPLEMENTARY INFORMATION:

## Final Rule Amendments and Regulatory Text

- ▶ Follow the “Supplementary Information” section of the Preamble
- ▶ The “List of Subjects”
- ▶ Numbered amendatory instructions specifically state how the CFR will be amended



## Interim Final Rule

### Issued:

- To react to an emergency situation
- To relieve unnecessary restrictions on the public
- To take public comments on interim action

### Effective:

- On date of publication; or
- Less than 30 days from date of publication

### Comment Period:

- Yes

## Direct Final Rule

### Issued:

- ✧ Non-controversial actions

### Effective:

- ✧ 30, 60 to 90 days from date of publication, if it is not withdrawn due to adverse comments

### Is there a comment period?

- ✧ Yes

### Withdrawn:

- ✧ Monitor the *Federal Register* for a withdrawal document

## Documents that Relate to Previous Rules & Regulations

### Examples:

- ✧ Interpretive Rule; Policy Statement on Enforcement; Clarification
- ✧ Temporary Rule; Deviation; Waiver
- ✧ Establishment, Delay, Suspension of Effective Date
- ✧ Reconsideration of recently issued Final Rule
- ✧ Withdrawal or Confirmation of Direct Final Rule

## Documents in the Notices section of the FR

### Describing official actions and functions that:

- May affect the public or provide important information  
BUT  
Do not amend the CFR.

### Examples:

- Sunshine Act and Federal Advisory Committee Act meeting notices
- Grant announcements and funding availability
- Environmental impact statements

## What is the format for Notices ?

Headings: Agency name, docket info, subject matter, no CFR cite

Captions:

- AGENCY:
- ACTION:
- SUMMARY:
- DATES:
- ADDRESSES:
- FOR FURTHER INFORMATION CONTACT:
- SUPPLEMENTARY INFORMATION:

## What Presidential Documents are published in the Federal Register ?

- ▶ Executive Orders
- ▶ Proclamations
- ▶ Administrative Orders & Miscellaneous Documents

## Executive Orders

- ▶ Directed at Executive agencies to manage operations
- ▶ President has constitutional authority to issue E.O.s as Chief Executive and as Commander-in-Chief
- ▶ Numbered consecutively as received by OFR
- ▶ Reprinted annually in 3 CFR, not codified

## Proclamations

- ▶ TYPES
  - Ceremonial
  - Substantive
- ▶ Numbered consecutively as received by OFR
- ▶ No legal distinction between E.O.s & Proclamations
- ▶ Reprinted annually in 3 CFR, not codified

## Administrative Orders and Miscellaneous Documents

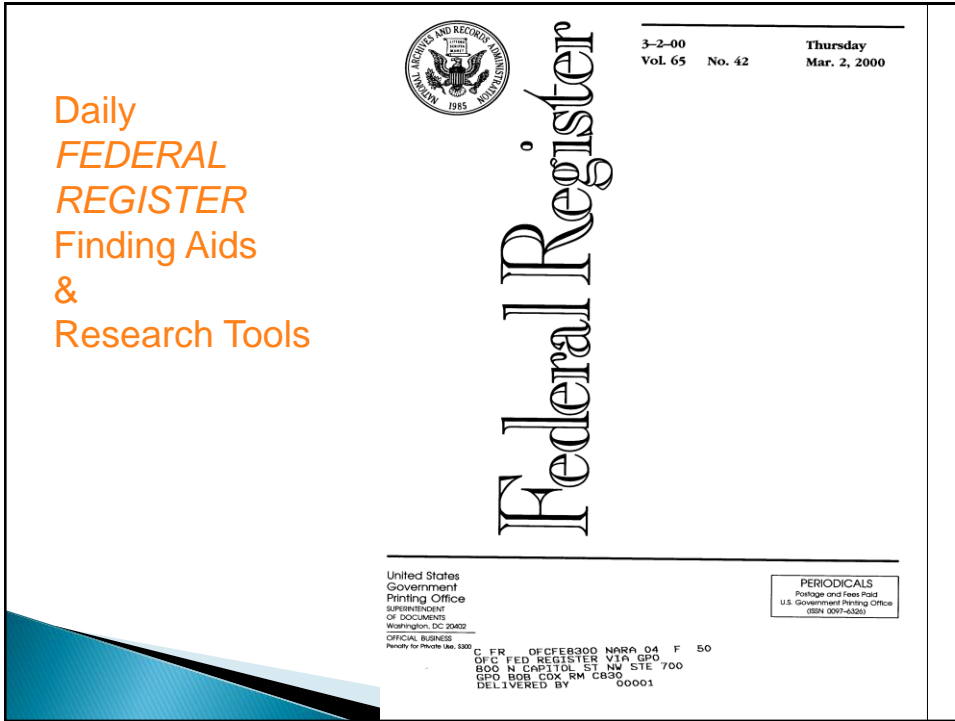
- ▶ Determinations
- ▶ Memoranda
- ▶ Reorganization Plans
- ▶ Notices of Continuation of National Emergencies

Comprehensive record of Presidential statements and directives:

- ▶ Compilation of Presidential Documents
- ▶ Public Papers of the Presidents series

## Separate Parts

- ▶ Appear at the end of the daily *Federal Register* issue
- ▶ Agencies request
  - For high profile documents.
  - To group related Final Rules, Proposed Rules and Notices together
- ▶ OFR places late arriving documents in separate parts for production purposes



## Daily *Federal Register* Research Tools and Finding Aids

- ▶ Table of Contents
- ▶ CFR Parts Affected in this Issue
- ▶ Reader Aids

## *Federal Register* Table of Contents

- ▶ Arranged by agency name in alphabetical order
- ▶ Cross-references
- ▶ Each agency document is arranged by category
- ▶ Presidential Documents are arranged as follows:
  - Executive Orders
  - Proclamations
  - Determinations/Memoranda

## “CFR Parts Affected” in this Issue

- ▶ Located after the Table of Contents
- ▶ Lists CFR titles and parts affected in an issue
- ▶ Indicates whether the documents affecting CFR parts are rules or proposed rules
- ▶ Lists the number designations of all Presidential documents in the issue
- ▶ Cites the page numbers where relevant documents begin

## CFR Parts Affected During (the current month)

- ▶ Cumulative table
- ▶ Lists documents in numerical order by CFR title and part
- ▶ You can quickly determine:
  - The CFR titles and parts affected by documents published during the current month
  - Whether the documents affecting the CFR parts are rules or proposed rules
  - The number designation of Presidential documents published during the current month
  - The page numbers where the relevant documents begin

## FR Pages and Dates (the current month)

- ▶ Cumulative table of page spans and dates
- ▶ Page spans are on the left side of the table with corresponding dates of publication on the right side
- ▶ Use the date table with entries from the *CFR Parts Affected During (the current month)* to find the date a document was published in FR



## Public Inspection

- ▶ Required by Federal Register Act
- ▶ Establishes “Filing” Date and Time
- ▶ Documents must be scheduled for publication
- ▶ Regular and Special Filing
- ▶ Public Agency Action versus “Pre-decisional” Agency Action
- ▶ Electronic Public Inspection Desk

• [www.ofr.gov](http://www.ofr.gov)

## Federal Register 2.0

- ▶ Launched July 26, 2010 – 75th Anniversary of the Federal Register Act
- ▶ Currently an unofficial edition of the Federal Register and a beta website version
- ▶ Online newspaper look and feel
- ▶ [www.federalregister.gov](http://www.federalregister.gov)

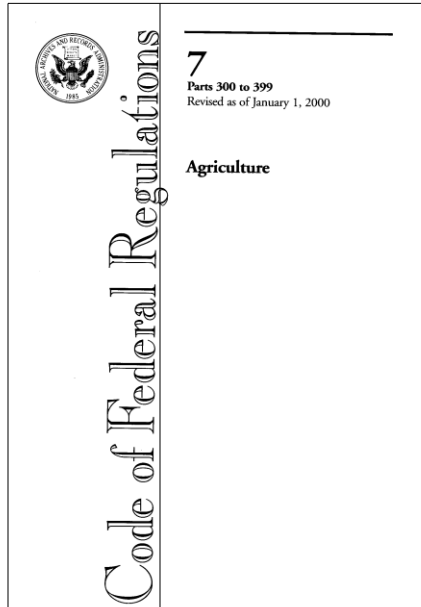
## Federal Register 2.0 Features

- ▶ Persistence of documents (“articles”)
- ▶ “News” sections – topical organization
- ▶ Agency pages with list of recently published documents and documents with comment periods that are opening or closing soon
- ▶ Calendar of Events
- ▶ Summary and Key Information
- ▶ Topics Index
- ▶ Social Networking and Web 2.0 Tools

## Federal Register 2.0 Additional Features

- ▶ Public Inspection Desk
- ▶ Currently Updated Federal Register Index
- ▶ Currently Updated Executive Order Disposition Tables
- ▶ Regulations.gov Docket Information and Ability to Submit Comments from Document Page on federalregister.gov
- ▶ Advanced Subscription Management
- ▶ Questions and Comments

## The CFR -- ORGANIZATION & CONTENTS



## What is the Code of Federal Regulations ?

- ▶ The CFR contains Federal rules that have:
  - General applicability to the public
  - Current and future effect as of the date specified
- ▶ Always published first in the FR as amendments to the CFR
- ▶ The CFR is published in a set of about 200 volumes
  - Printed soft cover books
  - Microfiche
  - Online at: [www.access.gpo.gov/nara](http://www.access.gpo.gov/nara)

## How is the CFR organized ?

- ▶ Federal regulations are organized into:
  - 50 titles
  - Broad subject matter categories
    - Environment, Defense, Public Health, Transportation
  
- ▶ Each title is completely revised and reissued once each year on a staggered schedule.
  - Titles 1 -- 16 updated as of January 1
  - Titles 17 -- 27 updated as of April 1
  - Titles 28 -- 41 updated as of July 1
  - Titles 42 -- 50 updated as of October 1

## What is the CFR numbering system ?

- ▶ The CFR has a uniform numbering system
  - Titles 3, 41, and 48 have significant variations
  
- ▶ The section is the basic unit of the CFR
  
- ▶ Cite the CFR by title and section: 12 CFR 303.1
  
- ▶ Text is divided into descending levels of units

## CFR Structure

|               |          |                                       |
|---------------|----------|---------------------------------------|
| Title         | 12       | Broad subject area of regulations     |
| Chapter       | III      | Rules of individual agency            |
| Part          | 303      | Rules on a single program or function |
| Section rules | 303.1    | One provision of program/function     |
| Paragraph     | 303.1(a) | Detailed, specific requirements       |

## Paragraph Levels

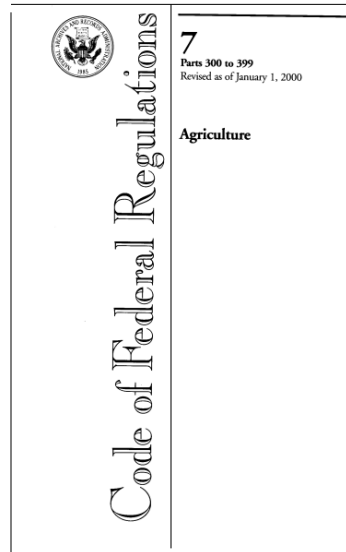
Sections may contain up to 6 levels of paragraphs.

- We strongly recommend no more than 3 levels.

| <u>Paragraph</u> | <u>Designations</u>           | <u>Cite paragraph as</u>  |
|------------------|-------------------------------|---------------------------|
| Level 1          | (a), (b), (c), etc.           | § 303.1(a)                |
| Level 2          | (1), (2), (3), etc.           | § 303.1(a)(1)             |
| Level 3          | (i), (ii), (iii), etc.        | § 303.1(a)(1)(i)          |
| Level 4          | (A), (B), (C), etc.           | § 303.1(a)(1)(i)(A)       |
| Level 5          | <i>(1), (2), (3), etc.</i>    | § 303.1(a)(1)(i)(A)(1)    |
| Level 6          | <i>(i), (ii), (iii), etc.</i> | § 303.1(a)(1)(i)(A)(1)(i) |

## How are rules codified in the CFR ?

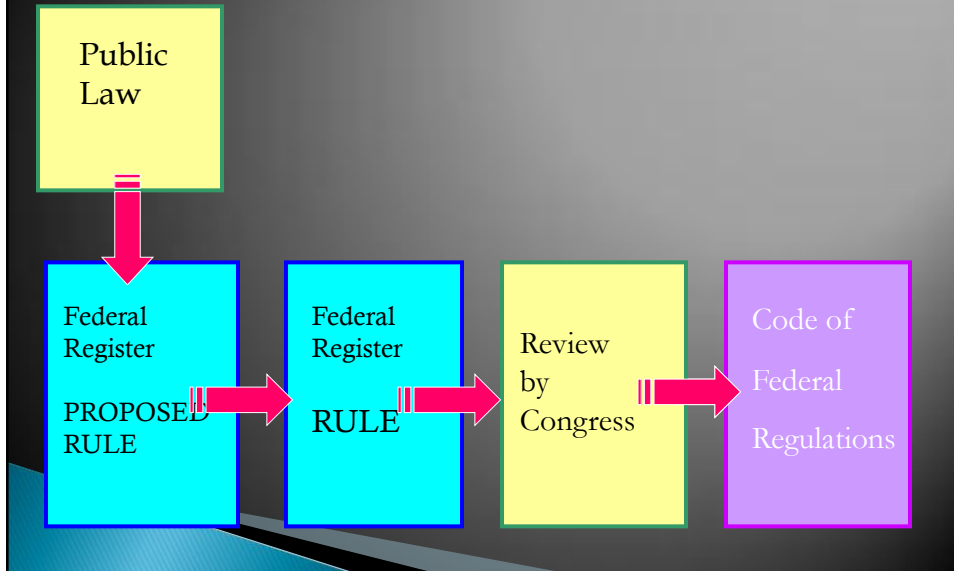
### The Rulemaking Process from Start to Finish



## What Triggers Rulemaking ?

- ▶ Legislation, Congressional hearings/reports
- ▶ Executive orders and OMB Circulars
- ▶ Court Orders
- ▶ Agencies act on own initiative to carry out mission
- ▶ Petitions for Rulemaking and informal requests from affected parties
- ▶ Federal Advisory Committee Recommendations
- ▶ Emergency situations, technological developments
- ▶ Political Factors

# The Regulatory Process



## Authorization in Public Law

Rulemaking usually begins with Congressional action.

For Example:

- The Animal Drug Availability Act of 1996 (ADAA) (Public Law 104- 250), enacted October 9, 1996, amended the Food, Drug and Cosmetic Act.
- Signaled Congressional intent for Food and Drug Administration (FDA) to administer the regulations on behalf of the Secretary of Health and Human Services (HHS).

**PUBLIC LAW 104-250 – OCTOBER 9, 1996**

**110 STAT. 3151**

Public Law 104-250  
104<sup>th</sup> Congress

**An Act**

To amend the Federal Food, Drug, and Cosmetic Act to provide for improvements in the process of approving and using animal drugs, and for other purposes.

*Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled,*

**SECTION 1. SHORT TITLE; REFERENCE.**

(a) **SHORT TITLE.**—This Act may be cited as the “Animal Drug Availability Act of 1996”.

(b) **REFERENCE.**—Whenever in this Act an amendment or repeal is expressed in terms of an amendment to, or repeal of, a section or other provision, the reference shall be considered to be made to a section or other provision of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 321 et seq.).

**SEC. 2. EVIDENCE OF EFFECTIVENESS.**

(a) **ORIGINAL APPLICATIONS.**—Paragraph (3) of section 512(d) (21 U.S.C. 360b(d)) is amended to read as follows:

“(3) As used in this section, the term ‘substantial evidence’ means evidence consisting of one or more adequate and well controlled investigations, such as—

    “(A) a study in a target species;

    “(B) a study in laboratory animals;

    “(C) any field investigation that may be required under this section and that meets the requirements of subsection (b)(3) if a presubmission conference is requested by the applicant;

    “(D) a bioequivalence study; or

    “(E) an in vitro study;

by experts qualified by scientific training and experience to evaluate

**Public Law Number**

**Statutes at Large citation**

**Date of enactment**

**Popular name of law**

**Note the identifying information in headings and side notes**

Oct. 9, 1996 [H.R. 2508]

Animal Drug Availability Act of 1996. 21 USC 301 note.

## Rulemaking Instructions in the Law

FDA must issue regulations to implement the law.

- Law sets a schedule for issuing proposed and final rules
- The agency must publish in *Federal Register* and follow APA notice and comment rulemaking process.



110 STAT. 3154 PUBLIC LAW 104-250 – OCTOBER 9, 1996

Regulations.  
Effective date.  
21 USC 360b note.

(e) IMPLEMENTATION.—

(1) IN GENERAL.—Not later than 6 months after the date of enactment of this Act, the Secretary of Health and Human Services shall issue proposed regulations implementing the amendments made by this Act as described in paragraph (2)(A) of this subsection, and not later than 18 months after the date of enactment of this Act, the Secretary shall issue final regulations implementing such amendments. Not later than 12 months after the date of enactment of this Act, the Secretary shall issue proposed regulations implementing the other amendments made by this Act as described in paragraphs (2)(B) and (2)(C) of this subsection, and not later than 24 months after the date of enactment of this Act, the Secretary shall issue final regulations implementing such amendments.

(2) CONTENTS.—In issuing regulations implementing the amendments made by this Act, and in taking an action to review an application for approval of a new animal drug under section 512 of the Federal Food, Drug, and Cosmetic Act (21 U.S.C. 360b), or a request for an investigational exemption for a new animal drug under subsection (j) of such section, that is pending or has been submitted prior to the effective date of the regulations, the Secretary shall—

(A) further define the term “adequate and well controlled”, as used in subsection (d)(3) of section 512 of such Act, to require that field investigations be designed and conducted in a scientifically sound manner, taking into account practical conditions in the field and differences between field conditions and laboratory conditions;

(B) further define the term “substantial evidence”, as defined in subsection (d)(3) of such section, in a manner that encourages the submission of applications and supplemental applications; and

(C) take into account the proposals contained in the citizen petition (FDA Docket No. 91P-0434/CP) jointly submitted by the American Veterinary Medical Association and the Animal Health Institute, dated October 21, 1991.

Until the regulations required by subparagraph (A) are

United States Code citation in the side note

Directive to HHS to issue regulations  
Timeline for action

## Proposed Rulemaking

### ADAA Example

- ▶ Statute set a 6 month time limit for a Proposed Rule
- ▶ FDA published the proposed rule on May 8, 1997, about 7 months after the law was enacted, slightly past the deadline

**Federal Register/Vol. 62, No. 89/ Thursday, May 8, 1997/Proposed Rules 25153**

**NPRM  
published  
May 8, 1997**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**

**Food and Drug Administration**

**21 CFR Part 514**

[Docket No. 97N-0141]

**Adequate and Well-Controlled Studies for Investigational Use and Approval of New Animal Drugs**

AGENCY: Food and Drug Administration, HHS.

**ACTION: Notice of proposed rulemaking**

**SUMMARY:** The Food and Drug Administration (FDA), as directed by the Animal Drug Availability Act of 1996 (ADAA), is publishing a proposed regulation to further define the term "adequate and well-controlled" to require that field investigations be designed and conducted in a scientifically sound manner. Elsewhere in this issue of the Federal Register, FDA is reopening docket number 96N-0411 to receive comments regarding a concept, "good study practices," that is related to the definition of adequate and well-controlled studies.

**DATES:** **Written comments by July 22, 1997.**

**ADDRESSES:** Submit written comments to the Dockets Management Branch (HFA-305), Food and Drug Administration, 12420 Parklawn Dr., rm. 1-23, Rockville, MD 20857.

**FOR FURTHER INFORMATION CONTACT:** Herman M. Schoenemann, Center for Veterinary Medicine (HFV-126), Food and Drug Administration, 7500 Standish Pl., Rockville, MD 20855, 301-594-1638.

**SUPPLEMENTARY INFORMATION:**

**I. Background**

Congress enacted the ADAA (Pub. L. 104-250) on October 9, 1996. Section 2(e) of the ADAA directs FDA to issue, within 6 months of its enactment, proposed regulations to further define the term "adequate and well-controlled" to require that field

**The public  
has 75 days  
to comment**

**Federal Register / Vol. 62, No. 89 / May 8, 1997/ Proposed Rules 25157**

**Proposed  
Amendment  
to the CFR**

3. New Sec. 514.117 is added to subpart B to read as follows:

**§ 514.117 Adequate and well-controlled studies.**

(a) *Purpose.* The primary purpose of conducting adequate and well-controlled studies of a new animal drug is to distinguish the effect of the new animal drug from other influences, such as spontaneous change in the course of the disease, normal animal production performance, or biased observation. One or more adequate and well-controlled studies are required to establish, by substantial evidence, that a new animal drug is effective. The characteristics described in paragraph (b) of this section have been developed over a period of years and are generally recognized as the essentials of an adequate and well-controlled study. Well-controlled, as used in the phrase adequate and well-controlled, emphasizes an important aspect of adequacy. FDA considers these characteristics in determining whether a study is adequate and well-controlled for purposes of section 512 of the Federal Food, Drug, and Cosmetic Act (the act) (21 U.S.C. 360b)...

# Final Rulemaking

## ADAA

- FDA published the final rule on March 5, 1998, in time to meet the 18 month statutory deadline

## The preamble of a final rule typically contains:

- Statement of the requirements in the law
- Cite to proposed rule and other rulemaking history
- Discussion and analysis of public comments received
- Justification for agency's final decisions

**Federal Register / Vol. 63, No. 43 / Thursday, March 5 1998 / Rules and Regulations 10765**

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Food and Drug Administration**  
**21 CFR Part 514**  
[Docket No. 97N-0141]

**Adequate and Well-Controlled Studies for Investigational Use and Approval of New Animal Drugs**

**AGENCY:** Food and Drug Administration, HHS.

**ACTION:** Final rule.

**SUMMARY:** The Food and Drug Administration (FDA), as directed by the Animal Drug Availability Act of 1996 (ADAA), is amending its regulations governing new animal drug applications to further define the term "adequate and well-controlled studies." The purpose of this final rule is to further define "adequate and well controlled" to require that field investigations be designed and conducted in a scientifically sound manner, taking into account practical conditions in the field and differences between field conditions and laboratory conditions.

**DATES:** The regulations are effective on April 6, 1998.

**FOR FURTHER INFORMATION CONTACT:** Herman M. Schoenemann, Center for Veterinary Medicine (HFV-126), Food and Drug Administration, 7500 Standish Pl., Rockville, MD 20855, 301-594-1638.

**SUPPLEMENTARY INFORMATION:**

**I. Background**

Congress enacted the ADAA (Pub. L. 104-250) on October 9, 1996. Section 2(e) of the ADAA directs FDA to issue, within 18 months of its enactment, final regulations to further define the term "adequate and well controlled" to require that field investigations be designed and conducted in a scientifically sound manner, taking into account practical conditions in the field and differences between field conditions and laboratory conditions. In an advance notice of proposed rulemaking that published in the Federal Register of November 21, 1996 (61 FR 59209), FDA solicited comments from interested parties on how to further define "adequate and well controlled as it relates to field studies."<sup>1</sup> Docket No. 96N-0411 was created for comments responding to this notice.

In the Federal Register of May 8, 1997 (62 FR 25153), FDA proposed to amend its regulations in part 514, 21 CFR part 514 to further define the term "adequate and well-controlled studies." FDA provided 75 days for public comment on the proposed rule. Docket No. 97N-0141 was created for comments regarding this proposed rule. As

**Final rule published in FR on March 5, 1998**

**Rule is effective 18 months from enactment of public law**

**References to public law and proposed rule**

**Federal Register / Vol. 63, No. 43 / Thursday, March 5, 1998 / .... 10768**

Point-by-point analysis and response to public comments

Discussion of variations between proposed rule and final rule

**A. Section 514.117(a)**

1. AHI recommended that FDA clarify in proposed Sec. 514.117(a) that reports of adequate and well-controlled studies refer to reports of adequate and well-controlled "effectiveness" studies. Based on the following discussion, FDA does not find it necessary to make such a clarification.

Under section 512(d)(1)(E) of the Federal Food, Drug, and Cosmetic Act (the act) (21 U.S.C. 360b(d)(1)(E)), FDA must refuse to approve a new animal drug application if there is a lack of substantial evidence that the drug will have the effect it is purported or represented to have under the conditions of use prescribed, recommended, or suggested in the proposed labeling. By definition, substantial evidence consists of one or more adequate and well-controlled studies on the basis of which experts qualified by scientific training and experience to evaluate the effectiveness of the drug could fairly and reasonably conclude that the drug will have the effect it purports or is represented to have under the conditions of use prescribed, recommended, or suggested in its proposed labeling (section 512(d)(3) of the act). Thus, it is clear and well established that adequate and well-controlled studies are studies intended to determine whether or not a drug is effective.

Because it is adequate and well-controlled studies and not just reports of adequate and well-controlled studies that provide a basis for determining whether a new animal drug is effective, and in some instances support a claim of target animal safety, FDA is deleting "Reports of" in the second to last sentence in proposed Sec. 514.117(a).

In that same sentence, FDA is also clarifying that adequate and well-controlled studies may be relied upon to support target animal safety but are not necessary to support claims of target animal safety. Studies intended to demonstrate safety need not be adequate and well-controlled studies (see section 512(d)(1) of the act, which states that in order to secure approval of a new animal drug, a sponsor must conduct adequate tests by all methods reasonably applicable to show whether or not such drug is safe). In proposed Sec. 514.117(a), FDA intended only to note that adequate and well-controlled studies intended to demonstrate whether a new animal drug is effective may be designed in a manner that also permits sponsors to simultaneously collect target animal safety data. If a sponsor needs to demonstrate through a field study that a new animal drug is safe for use in the target animal, the sponsor may do so by adequate tests by methods that are reasonably applicable or as part of an adequate and well-controlled study that is designed to determine the effectiveness of the new animal drug. Accordingly the second to last sentence in Sec. 514.117(a) will now provide that adequate and well-controlled studies, in addition to providing a basis for determining whether a new animal drug is effective, may also be relied upon to support target animal safety.

**Federal Register / Vol. 63, No. 43 / Thursday, March 5, 1998 .... 10770**

Amendatory instructions

Text of new section 514.117 in part 514 of title 21

**Lists of Subjects in 21 CFR Part 514**

Administrative practice and procedure, Animal drugs, Confidential business information, Reporting and recordkeeping requirements.

Therefore, under the Federal Food, Drug, and Cosmetic Act and under authority delegated to the Commissioner of Food and Drugs, 21 CFR part 514 is amended as follows:

**PART 514--NEW ANIMAL DRUG APPLICATIONS**

1. The authority citation for 21 CFR part 514 continues to read as follows:  
**Authority:** 21 U.S.C. 351, 352, 360b, 371, 379e, 381.

2. Section 514.111 is amended by revising paragraph (a)(5) to read as follows:  
**§ 514.111 Refusal to approve an application.**

(a) \* \* \*

(5) Evaluated on the basis of information submitted as part of the application and any other information before the Food and Drug Administration with respect to such drug, there is lack of substantial evidence consisting of one or more adequate and well-controlled studies by experts qualified by scientific training and experience to evaluate the effectiveness of the drug involved, on the basis of which it could fairly and reasonably be concluded by such experts that the drug will have the effect it purports or is represented to have under the conditions of use prescribed, recommended, or suggested in the labeling or proposed labeling thereof.  
\* \* \*

**3. New Sec. 514.117 is added to subpart B to read as follows:**

**§ 514.117 Adequate and well-controlled studies.**

(a) *Purpose.* The primary purpose of conducting adequate and well-controlled studies of a new animal drug is to distinguish the effect of the new animal drug from other influences, such as spontaneous change in the course of the disease, normal animal production performance, or biased observation. One or more adequate and well-controlled studies are required to establish, by substantial evidence, that a new animal drug is effective. The characteristics described in paragraph (b) of this section have been developed over a period of years and are generally recognized as the essentials of an adequate and well-controlled study.

## CFR Codification

### ADAA

- ▶ FDA published the new animal drugs rule on March 5, 1998
- ▶ The rule was integrated into the April 1, 1998 revision of title 21 -- "Food and Drugs"

**Title 21, like most CFR titles, has multiple volumes. The new rule was codified in the volume containing parts 500-599 of title 21.**

**code of  
federal regulations**

**Food and Drugs**

**21**

**PARTS 500 TO 599**

**Revised as of April 1, 2011**



## Part Level Table of Contents, Authority Citations, and Source Notes

- ▶ A new entry in the table of contents at the part level to reflect the newly added section of regulatory text
- ▶ The authority citation below the table of contents
- ▶ The source note below the authority cite

### Table of Contents, Authority Cite, Source Note

Title 21--Food and Drugs

CHAPTER I--FOOD AND DRUG ADMINISTRATION,  
DEPARTMENT OF HEALTH AND HUMAN  
SERVICES--(Continued)

#### PART 514--NEW ANIMAL DRUG APPLICATIONS

##### Subpart A -- General Provisions

##### Subpart B -- Administrative Actions on Applications

|         |   |
|---------|---|
| 514.100 | Evaluation and comment on applications.   |
| 514.105 | Approval of applications.   |
| 514.106 | Approval of supplemental applications.  |
| 514.110 | Reasons for refusing to file applications.  |
| 514.111 | Refusal to approve an application.  |
| 514.112 | Return of applications for animal feeds bearing or containing new animal drugs.                                 |
| 514.115 | Withdrawal of approval of applications.   |
| 514.116 | Notice of withdrawal of approval of application.  |
| 514.117 | <b>Adequate and well-controlled studies.</b>  |
| 514.120 | Revocation of order refusing to approve an application or suspending or withdrawing approval of an application. |
| 514.121 | Service of notices and orders.  |

##### Subpart C -- Hearing Procedures

Subparts D-E [Reserved]

##### Subpart F -- Judicial Review

514.235 Judicial review.

**AUTHORITY:** 21 U.S.C. 351, 352, 360b, 371, 379e, 381

**SOURCE:** 40 FR 13825, Mar. 27, 1975, unless otherwise noted

Section  
514.117  
added to  
Table of  
Contents

Authority  
Citation and  
Source Note

# CFR Text, Section Level Source Notes, and Authority Citations

- ▶ The text of new section 514.117 inserted into CFR Title 21, Chapter I, Part 514, Subpart B
- ▶ A source note
- ▶ No separate authority citation for this section

**CFR Text  
& Section  
Source Note**

Text of § 514.117 added to CFR

Updated Source Note cites to the final rule

**TITLE 21**--FOOD AND DRUGS

**CHAPTER I**--FOOD AND DRUG ADMINISTRATION, DEPARTMENT OF HEALTH AND HUMAN SERVICES--(Continued)

**PART 514**--NEW ANIMAL DRUG APPLICATIONS--Table of Contents

**Subpart B**--Administrative Actions on Applications

§ 514.116 Notice of withdrawal of approval of application.

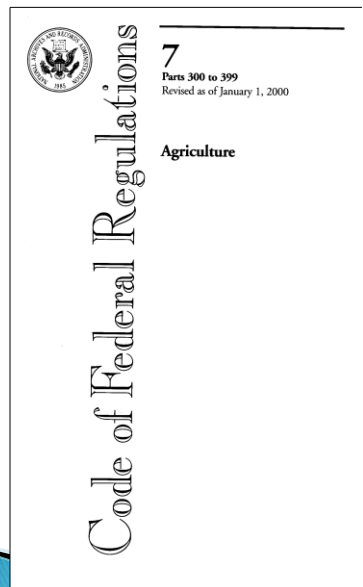
When an approval of an application submitted pursuant to section 512 of the act is withdrawn by the Commissioner, he will give appropriate public notice of such action by publication in the FEDERAL REGISTER.

**§ 514.117 Adequate and well-controlled studies**

(a) *Purpose.* The primary purpose of conducting adequate and well-controlled studies of a new animal drug is to distinguish the effect of the new animal drug from other influences, such as spontaneous change in the course of the disease, normal animal production performance, or biased observation. One or more adequate and well-controlled studies are required to establish, by substantial evidence, that a new animal drug is effective. The characteristics described in paragraph (b) of this section have been developed over a period of years and are generally recognized as the essentials of an adequate and well-controlled study. Well controlled, as used in the phrase adequate and well controlled, emphasizes an important aspect of adequacy. The Food and Drug Administration (FDA) considers these characteristics in determining whether a study is adequate and well controlled for purposes of section 512 of the Federal Food, Drug, and Cosmetic Act (the act) (21 U.S.C. 360b). Adequate and well-controlled studies, in addition to providing a basis for determining whether a new animal drug is effective, may also be relied upon to support target animal safety. ~~~~~

63 FR 10770, Mar.5, 1998

## CFR Research Tools



**Tables of Contents**

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**Table of CFR Titles and  
Chapters**

**Alphabetical List of Agencies  
Appearing in the CFR**

**Redesignation Tables**

**List of CFR Sections Affected**

## What research tools are in each printed volume of the CFR ?

- ▶ At the front of each CFR volume, look for:
  - Tables of contents to all material within the book
  - Tables of contents to the title, subtitle(s), chapter(s), and subchapter(s) within the book
- ▶ At the back of each CFR volume, look for:
  - “Table of CFR Titles and Chapters”
  - “Alphabetical List of Agencies Appearing in the CFR”
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  - “List of CFR Sections Affected”



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## Material Approved for Incorporation By Reference

- IBR material has the force of law as though it were published in full text the FR & CFR
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  - Located in the sidebar of the online e-CFR

## Table of CFR Titles and Chapters

- A list of all CFR titles, subtitles, chapters, and part spans in numerical order -- titles 1 to 50
- Includes the names of agencies assigned to CFR chapters
- A more detailed list is located in the *CFR Index and Finding Aids*, a separate publication

## Alphabetical List of Agencies Appearing in the CFR

- ▶ A list of all agencies that publish in the CFR
- ▶ References to sub-agencies under main agencies
- ▶ Location of the regulations of each agency and sub-agency appear in the CFR by title, subtitle and chapter

## Redesignation Tables

- ▶ A Redesignation Table helps you find the new location of parts and sections of regulations
- ▶ An agency publishes this table when it has done extensive reorganization and renumbering
- ▶ The table appears in the preamble of the rule document and is then included as a research tool in the back of the CFR

## List of CFR Sections Affected (in a specific CFR volume)

- ▶ This list helps you track amendments in each CFR volume since 1986 by year and FR page number
- ▶ Lists the type of amendment and the text affected down to the paragraph level
- ▶ For years before 2000, use the eleven separate volumes of the *List of CFR Sections Affected*
- ▶ A cumulative, monthly LSA is also published separately

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- ▶ Official Federal Register Publications
  - [www.fdsys.gov](http://www.fdsys.gov)  
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- ▶ Electronic Code of Federal Regulations (e-CFR)
  - [www.ecfr.gov](http://www.ecfr.gov)
- ▶ Federal Register Table of Contents ListServ
  - <https://listerv.access.gpo.gov>
- ▶ National Archives FR Home Page
  - [www.archives.gov/federal-register](http://www.archives.gov/federal-register)
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The End